

**FY 2002 Results Review and Resource Request (R-4)**

**Submitted by the United States – Asia Environmental Partnership (US-AEP)**

**April 13, 2000**

**Please Note:**

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*Released on or after Oct. 1, 2002*

April 18, 2000

**MEMORANDUM**

TO: AA/ANE, Robert C. Randolph

THROUGH: DAA/ANE, John L. Wilkinson

FROM: ANE/US-AEP, Peter M. Kimm

SUBJECT: The FY 2002 Results Review and Resource Request  
(R-4)

I am hereby submitting the US-AEP's FY 2002 R-4, which documents our achievements in FY 1999 and describes the resources we require to sustain our programs over the next three years. I am pleased to report that FY 1999 was a good year for the US-AEP:

- We met or exceeded all of our Performance Targets, including an increase in new partnerships between United States and Asian institutions. One noteworthy new partnership is with the U.S. State Legislative Leadership Foundation made up of the 350 most senior legislative officials of the United States.
- There was an increase -- \$8 million more than the previous year -- in the sale of U.S. environmental equipment and services, as the nations of East Asia recovered from the financial crisis that had gripped the region since 1997.
- Initiatives which we had launched in earlier years began to produce significant improvements in Asia's environmental management that support cleaner air, cleaner water, more efficient use of energy, and a safer workplace for millions of people in Asia.
- In the Philippines, our Clean Air Initiative helped lead to the passage of a Clean Air Act, which mandated pollution standards for air emissions and is leading to the elimination of all leaded gas in the country this year.
- In Taiwan, we led a consortium of industry, academics, and government to provide American leadership and technology in establishing the regional "Environmental Center for Livestock

Waste Management" at the National Pintung University of Science and Technology. Taiwan has expended US\$1.4 million in constructing this new Center; American industry has donated US\$300,000 of their equipment; and the universities contributed technical designs for the facility on a pro bono basis.

- In Vietnam, where we started a number of new programs in FY 1999, we were instrumental in convincing the Government to accelerate the phase-out of leaded gasoline by four years, from 2007 to 2003.
- In Indonesia, the US-AEP Country Coordinator was named co-chair of a newly established international donor Air and Transport Coordination Team, which is addressing the issue of leaded gasoline starting with vehicle emissions, in Jakarta. (I have been asked to deliver the keynote address, on behalf of all the donors, at a major conference, which will be held in Jakarta in May.) Our Water Efficiency Project (jointly funded with the USAID Mission) helped keep clean water flowing to millions of Indonesia's poor, and taught dozens of local water supply enterprises how to operate more efficiently.
- Through our new Urban Strategy we engaged over 100 municipalities throughout the region in new urban environmental improvement activities, and over 20 of these are implementing new initiatives that will improve their environment.
- Fully a third of US-AEP funding supported the USAID Climate Change Initiative, including the New South Asia Regional Initiative Energy Program. And we engaged in or explored joint projects with the USAID Missions in Mongolia, Bangladesh, and Egypt.

In FY 1999, the US-AEP increased its role as an intellectual leader on environmental policy issues within the donor community in Asia, established itself as a full partner in environmental policy with the Asian Development Bank (ADB), and made itself heard in the corridors of the Association of South East Asian Nations (ASEAN), the World Trade Association (WTO), and the Asian Pacific Economic Council (APEC).

Independent evaluations of our 10 major partnerships produced positive reports on program achievements. A recent management audit by the USAID Inspector General produced a

reasonably favorable report on our activities along with recommendations for further strengthening our capacity to "manage for results." Many recommendations contained in the evaluation and audit reports have been implemented over the past nine months. Others are being implemented in the pending re-competition of our three major support contracts, which is currently in progress. We will aggressively pursue closing these recommendations as soon as possible.

Throughout the year we engaged our partners in the U.S. and Asia in an intensive review of our Results Framework. The review led to a number of refinements to our RF - particularly in our Intermediate Results and Performance Indicators - which are described in Annex A. We look forward to discussing these RF refinements with you during the R-4 review process.

While no one is predicting a rapid return to the multiple-year double-digit growth rates, which many Asian countries enjoyed in the 1980's and early 1990's, their recovery from the financial crisis has spurred the interest and incentives for improved environmental infrastructure throughout the region. Many large urban infrastructure projects that were on hold, have been reactivated, and U.S. firms are currently bidding on very large design and construction contracts. Our active outreach to hundreds of new Asian public and private sector institutions during the crisis years, when commercial opportunities were limited, laid the groundwork for a spate of new development activities, as well as increased technology transfer through the sale of U.S. environmental equipment and services.

The prospects for US-AEP to advance the adoption of clean urban and industrial growth are better now than at any time since the financial crisis. However, in order to maintain the momentum of our diverse programs throughout the region and to continue to produce the kind of results we recorded in FY 1999, we need the level of resources requested for the FY 2001 and FY 2002.

CLEARANCE PAGE FOR MEMORANDUM regarding The FY 2002 Results Review and Resource Request (R-4)

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## **PART I. OVERVIEW**

### **1. Significant Program Achievements**

For the United States - Asia Environmental Partnership, FY 1999 was a year of significant program achievements and solid progress toward its goal of promoting a “clean revolution in Asia.”

All of the US-AEP’s performance targets for the year *were fully met or exceeded*. A record number of new partnerships was established between U.S. and Asian institutions. There was a notable increase in the sale of U.S. environmental equipment and services. New urban environmental improvement activities were launched in scores of Asian municipalities. Environmental laws and regulations were strengthened throughout the region. And the US-AEP expanded its presence into Vietnam and explored joint projects with the USAID Missions in Bangladesh, Mongolia and Egypt.

The US-AEP’s program achievements over the past eight years are reflected in improvements in Asia’s environmental management that support cleaner air, cleaner water, more efficient energy, and a safer workplace for millions of people in Asia.

Among the most significant achievements in FY 1999 was the success of the US-AEP’s Clean Air Initiative, which is largely responsible for the complete phase-out of leaded gasoline in the Philippines by the end of this year, and for accelerating the planned phase-out of leaded gasoline in Vietnam by four years.

FY 1999 was also a year in which the US-AEP: came into its own as an intellectual leader on environmental issues within the donor community in Asia; firmly established itself as an equal partner in development activities with such venerable regional institutions as the Asian Development Bank; and expanded USAID’s *domestic* constituency by establishing new ties to influential groups in the U.S.

### **2. Linkage to Agency Goals**

The US-AEP continued to make a substantial contribution to the achievement of Agency Goal Five: *the world’s environment protected for long-term sustainability*, and three of the five Objectives under that goal:

Objective 5.1: *reduce the threat of global climate change*;

Objective 5.3: *promote sustainable urbanization and improve pollution management*; and

Objective 5.4: *increase the provision of environmentally sound energy services*.

As an important development player in Asia, the US-AEP also contributed to the achievement of Agency Goal One: *broad-based economic growth achieved*. The US-AEP programs in five USAID-presence countries are closely integrated with those of the USAID Missions.



The US-AEP programs are also reflected in many U.S. Embassy Mission Performance Plans, including those in non-USAID presence countries. For example, the MPP of the U.S. Embassy in Singapore includes the following goal: “support Singapore’s contributions to the abatement of regional haze pollution, promote application of U.S. environmental technology in the private sector, and encourage Singapore’s participation in such regional and international undertakings on environmental issues as the Climate Changer Convention.”

## **2. Recent Evaluations and Audit Findings**

Over the past 18 months, the US-AEP commissioned a series of ten evaluations by independent consultants covering all its major program components. The final evaluation report in the series contained the following overall conclusion:

*“Seven years after its inception, the US-AEP is a vibrant and viable institution, with a solid record of accomplishment.”*

A final management audit report issued by the USAID Inspector General on March 24, 2000 concluded that: “for the activities tested, US-AEP activities were generally making progress toward stated objectives.” Many of the recommendations for strengthening the US-AEP’s capacity to “manage for results” that were contained in the evaluations and IG report have been implemented over the past nine months. Others are being implemented in the “re-competition” of the US-AEP’s three major support contracts currently underway.

### **A. Factors That Influenced Performance**

#### **1. The Asian Financial Crisis**

The grave financial crisis that engulfed east Asia in the second half of 1997 had a profound affect on the US-AEP program over the past several years. As a result of the crisis, most of the Governments of the region put a hold on major new urban infrastructure projects, and environmental improvements in the industrial sectors were given a low priority.

However, the worst of the crisis appears to be over. All of the east Asian countries reversed their economic decline in 1999, and most are well on their way to full recovery from what was an emotional, as well as an economic, shock for the entire region. Malaysia, Thailand, Taiwan, Korea and Hong Kong are all projecting a GDP growth rate of four percent *or more* this year. The economies of the Philippines and Vietnam, while no longer in decline, are recovering more slowly. Indonesia, whose problems are multiplied by internal political and ethnic strife, is lagging behind the rest of the region in its recovery efforts.

#### **2. India Sanctions**

The sanctions which the U.S. imposed on India in 1998 continue to constrain the work of the US-AEP and its partners in one of the most important countries of the region. Activities that are deemed to be humanitarian in nature, such as the provision of clean air and water *on health grounds*, and climate change activities, have been exempted from the sanctions.

## **B. Prospects for Progress**

It is clear that the on-going recovery has revived the interest and incentives for improved environmental performance throughout the region. A number of countries have re-started urban infrastructure projects that were on hold, and American firms (with US-AEP assistance) are currently competing for huge new engineering design and construction contracts. Private companies in many countries are again in a position to fund urgently needed technology transfers to improve their environmental performance.

Moreover, the active outreach which the US-AEP and its partners expanded to literally hundreds of Asian institutions during the crisis has laid the groundwork for a spate of new *development* activities designed to promote further environmental improvements in the industrial and energy sectors.

*In sum, the situation in Asia and the prospects for the achievement of results by the US-AEP and its partners are better today than they have been at any time since 1997.*

## **II. RESULTS REVIEW**

### **A. The Refined Results Framework**

Over the past year, the US-AEP Secretariat engaged its major partners in the U.S. and Asia in an intensive review of its Results Framework (RF). The review led to a number of refinements to the RF, particularly at the Intermediate Results level, and in the development of six new Performance Indicators which (in conformance with the Agency's R-4 guidance) "tell a more accurate story" of the US-AEP's accomplishments.

Three old Performance Indicators are not being reported on this year, in keeping with the Agency's R-4 guidance to "weed out" Indicators which "are not useful for management at the Operating Unit level." Two other sets of old Indicators are still being reported on in this R-4, but mainly in summary form. *The six new Indicators are being reported on fully for the first time in this R-4.* Annex A describes the refinements to the Results Framework, and provides detailed information on the new Indicators.

### **B. Key Results Achieved: Old Indicators**

The US-AEP met *or exceeded* all its performance targets in terms of the *old* Indicators used to measure results in FY 1999. The old Indicators were in two groups: partnerships (new, continuing and self-sustaining) and corporate governance and environmental management (ISO 14000 certifications, greening the supply chain, environmental due diligence and environmental extension systems).

Partnerships between U.S. and Asian institutions are the main mechanism by which the US-AEP seeks to achieve its goal of a clean revolution in Asia, and FY 1999 was a record year for partnerships. The cumulative target of 60 was greatly exceeded by a score of 105, including 48 new partnerships (16 in the Philippines alone) and new partnerships in three countries for the first time: Nepal, Bangladesh and Vietnam.

A significant milestone in terms of US-AEP “partnering” was the opening in December, 1999 of the regional Environmental Center for Livestock Waste Management at the National Pingtung University of Science and Technology in Taiwan, which was established with the support of a consortium of U.S. universities and companies brought together by the US-AEP over the past three years.

The record for the corporate governance and environmental management Indicators was as follows:

ISO 14000 certifications established: target 13; results 13; *target met*.

Greening of the supply chain: target 15; results 18; *target exceeded*.

Environmental due diligence: target 15; results 16; *target exceeded*.

Environmental extension systems: target 7; results 8; *target exceeded*.

Of special note: in FY 1999 the US-AEP successfully engaged the Asian Development Bank (ADB) in the pursuit of due diligence. The ADB has commissioned studies of the US-AEP’s success in promoting due diligence, and will use the results to develop a training program for use throughout Asia.

Further details on the results achieved in terms of the old Indicators are provided in Annex B.

## C. Key Results Achieved: New Indicators

This section discusses the results achieved in terms of the six *new* Performance Indicators, which are used for the first time in this R-4. In some tables a cumulative score that includes data collected in earlier years was used as the base line; in others, data collected for the first time in FY 1999 serves as the baseline.

### 1. Institutions Impacted

Strategic Objective 1: Impact on the key people, institutions and forces which drive the movement to a clean revolution in Asia.							
Performance Indicator 1.d: <i>The number of institutions, (U.S. and Asian) impacted by US-AEP activities.</i>							
			Planned			Actual	
	FY	U.S.	Asian	Total	U.S.	Asian	Total
Baseline	1992-99	N/A	N/A	N/A	2016	1695	3711
	2000	2218	1865	4083			
	2001	2218	1865	4083			
	2002	2440	2051	4491			
	2003	2684	2256	4940			
	2004	2952	2482	5434			
Definition: U.S. institutions include state agencies, universities, NGOs, business associations, large corporations and small firms which have: a) hosted US-AEP-supported exchanges involving Asians coming to the U.S. for training, workshops, seminars, study tours and trade shows; or b) provided technical assistance or conducted pilot demonstrations in Asia. Asian institutions include public and private sector groups which: a) participated in one or more US-AEP programs, e.g., the Environmental Exchange Program, the Environmental Technology Fund, and the Overseas Program Fund; or b) hosted US-AEP activities, e.g., conferences and trade shows in Asia.							

#### a. The FY 1999 Baseline

The figures show that over the past eight years, at least 3711 institutions (2016 U.S., and 1695 Asian) were impacted by US-AEP's programs, *in particular the Environmental Exchange Program (EEP)*, administered by the Institute of International Education (IIE).

One of the most noteworthy new institutions which the US-AEP engaged in FY 1999 was the U.S. State Legislative Leadership Foundation, made up of the 350 most senior legislative officials of the 50 states. Since the Asian institutions often send several of their people to a single US-AEP function, the number of individual Asians who have participated over the years is estimated to be at least 5000.

#### b. Planned Results in FY 2000

If the projected increases in the number of U.S. and Asian institutions to be engaged by the US-AEP in the coming years are achieved, then the total number of institutions engaged will surpass 5000 by the end of FY 2004.

The number of individual Asians who will have participated in US-AEP activities by FY 2004 could be well over 10,000.

## 2. Resources Leveraged

Strategic Objective 1: Impact on the key people, institutions and forces which drive the movement to a clean revolution in Asia.			
Performance Indicator 1.e: <i>The dollar value of the resources leveraged by the US-AEP from non-USAID sources.</i>			
	Fiscal Year	Planned	Actual
Baseline	1992-99	N/A	\$153,934,468
	2000	\$163 million	
	2001	\$172 million	
	2002	\$181 million	
	2003	\$190 million	
	2004	\$199 million	
Definition: The dollar value of the funds, in-kind support or pro bono services provided by other Federal agencies, U.S. state agencies, and all the other US-AEP partners in the U.S. and Asia, to support various US-AEP programs.			

### a. The FY 1999 Baseline

The table shows that since FY 1992 the US-AEP has leveraged \$154 million in resources from non-USAID sources. This amount includes \$8,849,526 in FY 1999. Through the end of FY 1999, the US-AEP has expended \$116,931, 809 in USAID funds. Thus, in its first eight years, for every USAID dollar spent, the US-AEP has leveraged about \$1.32.

This is actually a conservative figure, because many of the leveraged resources are not reported, e.g., the expenses incurred by large multi-national corporations, like United Technologies, Inc, and the Ford Motor Company, in establishing programs for “greening of the supply chain” in Asia,

### b. Planned Results in FY 2000

Pressure is continually maintained on partners to provide their own resources to help augment the cost of US-AEP activities. The previous table projects \$9 million a year in leveraged resources for FY 2000 and beyond, which is about the same as last year. This is a realistic target, in view of the tight budget constraints under which the US-AEP’s partners are currently operating.

### 3. Environmental Laws and Regulations

Intermediate Result 1.1: Improved public policy and environmental regulation.			
Performance Indicator 1.1.a: <i>The number of environmental laws and regulations strengthened through US-AEP activities.</i>			
	Fiscal Year	Planned	Actual
Baseline	1999	N/A	16
	2000	18	
	2001	18	
	2002	22	
	2003	26	
	2004	30	
Definition: New or revised national, provincial or municipal laws and/or regulations on environmental performance which are being drafted , or have been adopted or are being implemented as a result of the activities of one or more of the US-AEP's partners.			

#### a. FY 1999 Baseline

FY 1999 was the first time data was collected on this Indicator. The table reflects the laws and regulations strengthened in the following countries: Thailand (3), including regulations for solid waste disposal; Vietnam (2), including revision of the 1993 National Environmental Law; Hong Kong (2), including indoor air quality legislation; Malaysia (1), revision of environmental auditing guidelines; India (1), vehicle emission standards for Calcutta; and the Philippines (4), including drafting a Solid Waste Act and an Energy Efficiency Law, and modifying the Performance Contracting Law and the National Building Code.

One of the most gratifying results in FY 1999 was the passage of the Clean Air Act in the Philippines, which mandated pollution standards for air emissions, country-wide. The Act was the culmination of five years of concerted effort on the part of the US-AEP. The special Clean Air Initiative which the US-AEP launched last year is also producing results elsewhere in the region.

In Vietnam, the US-AEP was instrumental in convincing the Government to accelerate the phase-out of leaded gas by four years, from 2007 to 2003, by bringing in experts from Thailand, to explain how *their* phase-out programs have been accelerated.

In Indonesia, the US-AEP Country Coordinator was named the co-chair of a newly established international partnership, called the Air and Transport Coordination Team, which is addressing the issue of leaded gas, starting with vehicle emissions in Jakarta. The Team includes representatives of the World Bank, ADB, the German Aid Agency, the Canadian Embassy, USAID, Swiss contract, and the Sustainable Transport Action Network for Asia and the Pacific (SUSTRAN).

The Team is planning a major donor conference with senior officials of the Government of Indonesia in May of this year. It is evidence of the professional respect which the US-AEP enjoys in the donor community that the US-AEP Executive Director has been asked to give the keynote address at the conference, *on behalf of all the donors.*

## b. Planned Results for FY 2000

The previous table sets targets for new laws and regulations to be strengthened in FY 2000 and each of the following years. Activities currently underway include: the development of leaded gasoline regulations in Vietnam; rewriting hazardous waste legislation and drafting a regulatory framework for leaded gas in Indonesia; revising the national Factories Act in Thailand; and developing national diesel emission standards in Singapore.

The US-AEP is helping implement new regulations for the complete phase-out of leaded gasoline in Manila by April 1, and all over the Philippines by January of 2001. The country-wide phase-out will produce tremendous health benefits for the people of the Philippines, particularly future generations of children, *whose IQ levels are projected to go up by five per cent* as a result of the cleaner air which they will be breathing.

## 4. Municipalities Engaged

Intermediate Result 1.2: Improved urban environmental management.			
Performance Indicator 1.2.a: <i>The number of municipalities engaged in US-AEP-supported improvements in environmental management.</i>			
	Fiscal Year	Planned	Actual
Baseline	1999	N/A	125
	2000	130	
	2001	140	
	2002	150	
	2003	160	
	2004	170	
Definition: Municipalities are defined as urban jurisdictions, including major cities and towns, as well as separate jurisdictions in large metropolitan areas, such as the 17 jurisdictions that make up Metro Manila. They are considered to be engaged if they are actively involved in one or more US-AEP programs, such as the State Environmental Initiative or the Clean Air Initiative.			

### a. The FY 1999 Baseline

This is the first year that statistics have been kept on the number of municipalities engaged, and the large number reflects the increased emphasis on urban environmental improvements and the new Urban Environmental Strategy which the US-AEP began to implement in FY 1999.

The largest number of municipalities engaged was in Indonesia, where a Water Efficiency Project (jointly funded by the USAID Mission) helped 54 small municipal water enterprises maintain their services and keep clean drinking water flowing to millions of Indonesia's rural poor during the financial crisis. There were 28 municipalities engaged in the Philippines, including the many jurisdictions that make up Metro Manila and seven provincial cities. US-AEP partners provided assistance in solid and hazardous waste disposal, establishing emission standards, and designing and implementing environmental management systems for clean air and water.

A Memorandum of Understanding was signed with the Philippine League of Cities for the establishment of a Clean Cities Center to promote energy cost reductions and more efficient

urban industries. The other countries and the number of municipalities engaged were: Singapore (3); Thailand (9), including five jurisdictions in Metro Bangkok; Hong Kong (5); Sri Lanka (12); Korea (1); Vietnam (the two main cities, Hanoi and Ho Chi Minh City); and India (11).

## **b. Planned Results for FY 2000**

The table on the previous page reflects a modest expansion of the number of municipalities to be engaged in FY 2000 and beyond. Whereas much of the activity in FY 1999 was related to clean water, greater emphasis is now on achieving results in other areas, i.e., clean air and solid waste management, and the efficient use of energy.

The US-AEP and the ADB are partnering on a number of urban projects in FY 2000. The most significant involves the US-AEP's conduct of case studies of how major cities in the Philippines and Thailand have been implementing environmental management systems, as part of the ADB's Cleaner Production Practices and Policies Project. Based on the study results, the ADB will finance a training course to promote the lessons learned throughout the Asia region.

## **5. US-AEP-Assisted Sales**

Intermediate Result 1.4: Increased transfer of U.S. environmental technology, expertise and practices to Asia through trade and investment.			
Performance Indicator 1.4.a: <i>The dollar value of US-AEP-assisted sales of U.S. environmental equipment and services</i>			
	Fiscal Year	Planned	Actual
Baseline	1992-99	N/A	\$1,115,715,112
	2000	\$1,185 billion	
	2001	\$1,255 billion	
	2002	\$1,325 billion	
	2003	\$1,395 billion	
	2004	\$1,465 billion	
Definition: US-AEP-assisted sales are defined as any sales in Asia by U.S. companies that can be attributed to: a) the support and assistance which they received through one or more US-AEP programs, e.g., the Environmental Technology Fund, the State Environmental Initiative, the Overseas Program Fund, the Environmental Exchange Program, etc.; and b) ad hoc advice and assistance which the companies received from the US-AEP Technology Representatives or other partners in Asia.			

### **a. The FY 1999 Baseline**

This new Indicator on US-AEP-assisted sales was recommended by the Inspector General in his recent management audit report. The previous table shows that the US-AEP's efforts have resulted in more than \$1.1 billion in sales through FY 1999. *This is a conservative figure*, because the US-AEP applies a very rigorous standard in claiming credit for sales.

Thus, as noted in one of the evaluations conducted last year: "The dollar amount of the sales which are not being recorded, and for which the US-AEP is not getting credit, *appears to be in the hundreds of millions of dollars.*"

The sales that were recorded in FY 1999 (and which are included in the above cumulative total for FY 1992-99) came to \$21,660,902. This was considerably higher than the total of



\$13,417,471 in FY 1998. The substantial increase in FY 1999 clearly reflects the recovery that is now taking place from the Asian financial crisis.

### **b. Planned Results for FY 2000**

Assuming the recovery continues, significant sales are expected in each of the next five years. The projections do not take into account the real possibility of some U.S. firms obtaining huge contracts for the design and construction of massive urban infrastructure projects, e.g., desalination plants, sewage systems, water-works, land fills, etc., which were on hold during the financial crisis.

## **3. Non-Sales Indicators**

Intermediate Result 1.4: Increased transfer of U.S. environmental technology, expertise and practices to Asia through trade and investment.			
Performance Indicator 1.4.b: <i>The number of US-AEP-assisted business transactions, other than direct sales, between U.S. and Asian companies.</i>			
	Fiscal Year	Planned	Actual
Baseline	1999	N/A	27
	2000	38	
	2001	49	
	2002	60	
	2003	71	
	2004	82	
Definition: Non-sales transactions include joint ventures, agent distributorships, licensing agreements, contracts and Memoranda of Understanding between U.S. and Asian companies that can be attributed to: a) the support and assistance they received through one or more US-AEP programs, e.g., the Environmental Technology Fund, the State Environmental Initiative, the Overseas Program Fund, the Environmental Exchange Program, etc.; and b) ad hoc advice and assistance which the companies received from the US-AEP Technology Representatives and other partners in Asia.			

### **a. The FY 1999 Baseline**

The previous table shows that there were 27 business transactions signed between U.S. and Asian firms for various types of business relationships in FY 1999. They included 17 agent/distributorships; six joint ventures; one licensing agreement; two contracts; and one Memorandum of Understanding. The deals were signed in six countries: the Philippines (9); India (8); Korea (5); Hong Kong (2); Singapore (2); and Sri Lanka (one). The U.S. companies represent 13 states, and their specialties include: wastewater treatment; pollution control and monitoring; air cleaners; hazardous waste; water purification; NOX removal; filter housings; fuel combustion; textile dye effluents; defluoridation; and diffused aeration.

### **b. Planned Results in FY 2000**

A steady increase in the number of business deals is projected, based on the increasingly positive business climate in most Asian countries, and a growing market for environmental equipment and services.

## **D. Other Measures of Performance**

### **1. Program Expansion**

**a. Vietnam.** US-AEP offices were opened in Hanoi and Ho Chi Minh City, and initial relationships were established with counterpart agencies in the public and private sectors. Over the long-term, the US-AEP seeks to establish sustainable partnerships between centers of policy and environmental excellence in the United States and Vietnam, to accelerate the development of the country's urban and environmental infrastructure, and to engage the U.S. private sector in technology transfer. Activities in FY 2000 include implementing a pilot air quality network in Ho Chi Minh City, and supporting Vietnam's efforts to eliminate leaded gasoline.

**b. Mongolia.** A Memorandum of Understanding was signed between the US-AEP and USAID/Mongolia for joint activities, starting with Mongolia's participation in the Clean Air Initiative, and collaboration with the USAID Global Bureau in its Resource Cities Program. Other activities under consideration include an introductory training program on urban management for officials of Ulaan Baatar, and collaboration with the World Bank on its urban water management program.

**c. Bangladesh.** The US-AEP and the U.S. Department of Energy assisted in the design of a major new bi-lateral energy program by USAID/Bangladesh. The USAID Mission is currently considering "buy-ins" to several US-AEP activities, e.g., the new Exchange Program for Sustainable Growth.

**d. Egypt:** The US-AEP has opened a dialogue with USAID/Egypt on potential collaboration, initially to include activities in technology transfer and corporate environmental improvement.

### **2. Global Climate Change (GCC)**

In FY 1999, 35 percent of the US-AEP budget was attributed to GCC, with every major program and partner involved in one or more GCC activities. The focus in FY 2000 is on energy and resource efficiency in industry. The priority countries are India, Korea, Malaysia and Thailand, and the South Asian Regional Initiative for Energy (SARI/E). Annex C provides more details on the US-AEP's contributions to the USAID Climate Change Initiative.

### **3. Policy Change**

One of the most difficult results to measure – but one for which the US-AEP clearly deserves credit – is its success in affecting policy change. Over the years, *and in close collaboration with the Asian Development Bank*, this has involved many activities, all calculated to influence the *thinking* of key Asian policy-makers on environmental issues, and to promote public policy change for improved environmental performance.

In FY 1999, US-AEP personnel helped frame environmental policy issues for the U.S. Delegations to meetings of the World Trade Association (WTO), the Association of South East Asian Nations (ASEAN), and the Asian Pacific Economic Council (APEC).

Members of the US-AEP Policy Group facilitated and participated as speakers and resource persons in dozens of other international meetings, e.g., GIN/Asia meetings, where issues of “place-based” and “sector-based” public policies were discussed with senior policy-makers and environmental experts from the Asia-Pacific Region.

The Policy Group stimulated the policy debate in a number of other ways: hosting bi-weekly Policy Forum brown-bag lunches for the Washington, D.C., environmental and energy policy community; maintaining a well-visited section on environmental issues in the US-AEP web site; and frequent contributions to professional journals. (There were approximately 20,700 “visitors” to the *entire* US-AEP web site in FY 1999, 5000 more than in FY 1998, with “visitors” from over 100 countries.)

One of the Policy Group’s most important initiatives was successfully completed in the last quarter of FY 1999: the drafting of a set of Framing Papers, which articulate and promote the case for a clean revolution in Asia, with the aim of influencing senior Asian government officials and business leaders, and setting the environmental policy agenda of leading research institutions in the U.S. and Asia.

#### **4. Women in Development**

Over the years, increasing numbers of women have participated in US-AEP activities. For example, in FY 1999 185 women participated in the Environmental Exchange Program (EEP): 73 were involved in exchanges, 50 participated in various training programs and 62 attended workshops or seminars.

For the past two years, the EEP has included a gender initiative to promote Women in Development. It involves an outreach to women’s and environmental organizations throughout the U.S. and Asia, in an effort to engage women more fully, not just in the EEP, but all US-AEP programs. A brochure on “The Role of Women in the Urban Environment” is being widely distributed to promote the initiative.

#### **E. The Evaluation Findings**

As noted earlier, ten evaluations covering the US-AEP’s major components were conducted over the past two years. The final evaluation report, which credited the US-AEP with “a solid record of accomplishment,” concluded that: “its success can be measured in many ways:

*“In promoting partnerships* – between the public and private sectors within the United States and between public institutions and private companies in the United States and Asia; literally hundreds of partnerships, networks and other linkages, involving thousands of individuals on both sides of the Pacific.

*“In mobilizing resources* – drawing on the skills of other federal agencies and the public and private agencies and institutions of the fifty U.S. states.

*“In leveraging financial resources – almost one and one half dollars for every dollar invested by the US-AEP itself.*

*“In technology transfer – more than one billion dollars in the sale of U.S. environmental equipment and services.*

*“In knowledge transfer – thousands of Asians trained and exposed to American environmental technology in workshops, seminars, trade shows, and the like.*

*“In fostering a clean revolution in Asia – through all of the mutually-supportive US-AEP components which stimulate the environmental policy debate, push regulatory reforms, promote CTEM, focus on urban issues and otherwise impact on the ‘key drivers’ of the revolution.”*

## **F. Self-Assessment of Progress**

The Secretariat’s self-assessment is that FY 1999 was a year of substantial progress. In addition to the significant program achievements recorded in this R-4, the US-AEP took a number of internal actions to better define its mission and to enhance its capacity to manage for results.

Four *Program Management Groups* (PMGs) were established to provide the Secretariat with a better structure for managing its many programs and activities in the U.S. and Asia. The PMGs correspond to the four new Intermediate Results in the refined Results Framework, and are equivalent to USAID Results Package Teams.

The US-AEP Offices of Technology Cooperation in Asia submitted comprehensive *Country Work Plans*, in which they presented all activities in their country (and their budget request) in terms of the four new Intermediate Results. Thus, both the new program *management* structure (the PMGs) in Washington, and the program *budget* structure in the field, are now directly related to the Results Framework. Further refinements to the RF are underway. More new Indicators are being developed, and they are being compiled in an expanded Performance Monitoring Plan (PMP).

## **G. Programs To Be Funded in the Budget Year**

All of the major programs and activities whose FY 1999 results were described above will continue to be funded in FY 2000. The US-AEP’s one Strategic Objective remains in force: *Impact on the key people, institutions and forces which drive the movement to a clean revolution in Asia.*

A substantial amount of the budget is again being allocated to programs which cut across the four new Intermediate Results and support the Agency’s Global Climate Initiative as well. An increasing number of new activities this year will be jointly funded (or involve “buy-ins”) with USAID Missions, the Global Bureau, the ADB and other partners.

## **H. Program Management**

The small US-AEP Secretariat will continue to heavily draw on the technical expertise of two federal agencies: the U.S. Department of Commerce and the U.S. Environmental Protection Agency. Major domestic partners whose programs will continue include the: National Association of State Development Agencies; Council of State Governments; National Pollution Prevention Roundtable; Asia Foundation; and a host of other profit and not-for-profit organizations.

Many of the Inter-Agency Agreements, Cooperative Agreements, and contracts for partner services expired last year. It was a monumental struggle within the USAID procurement and NMS systems to have them extended, renewed or otherwise continued, without a disastrous break in the partners' services. Three of the largest support contracts expire this year, and are currently being "re-competed. Since it will take some time for the new contractors to hit their stride, the performance targets for the work in which they will be involved in FY 2000 and FY 2001 have been set at modest levels.

## **I. Prospects for Progress in the Budget Year**

### **1. Problems to Overcome**

As noted earlier, the prospects for achieving significant progress toward the achievement of the US-AEP's goal are better today than they have been for several years. That being said, there are serious problems in the region that constrain the US-AEP and other donors in their efforts to promote sustainable development and improved environmental performance in Asia.

Foremost among these problems is the urgent need for structural reforms in much of the region. The economic recovery that is currently underway masks very serious structural problems in many countries. Substantial reforms are needed to restructure inefficient and corrupt banking and judicial systems, and to establish a more favorable legal and ethical foundation for trade, investment and private sector growth.

It should also be noted that while many of the US-AEP's activities are designed to expand the legal and regulatory framework for environmental performance, there is already a substantial body of such laws and regulations on the books. But many of these laws and regulations are being ignored, and the level of enforcement varies considerably among the Asian countries. One of the US-AEP's challenges is to inculcate a "culture of compliance" among those at whom the laws and regulations are aimed, and to promote stricter enforcement on the part of the Asian governments.

### **2. Anticipated "Bench-mark" Achievements**

The specific results anticipated in FY 2000 in terms of the new Performance Indicators were recorded above. Other so-called bench-mark achievements (a term from the Agency's R-4 guidance) that are anticipated for the year include:

- The launching of a major new Clean Air Initiative on vehicle emissions in Indonesia, following the meeting of the new donor Air and Transportation Team in Jakarta.
- The active engagement of new Asian cities, e.g., Ulaan Baatar, Hanoi and Ho Chi Minh City, in the Global Bureau's Resource Cities Program.
- The start-up of jointly funded projects, aimed at public participation and governance in addressing environmental problems, with one of the US-AEP's newest partners, the U.S. State Legislative Leadership Foundation.

### **PART III. RESOURCE REQUEST**

#### **A. The Operational Year Budget (OYB)**

The US-AEP's FY 2000 OYB is \$15,000,000. With a carryover from FY 1999 of \$1,400,000, the available funds total \$16,400,000. This is almost \$3 million less than the \$19,300,000, *which was the original request level for FY 2000*. The large reduction from the requested level reflects the substantial budget cuts which the ANE Bureau has imposed on the US-AEP in every fiscal year since FY 1997.

All of the OYB is from the Development Assistance (DA) account, and the entire amount is committed to the achievement of the US-AEP's single Strategic Objective. Although all the funds are listed in the accompanying tables under the Agency's environmental goal, the on-going programs also support the Agency's economic growth, health promotion and democracy/governance goals.

There will be no problem in obligating the full OYB, approximately a third of which will be devoted to GCC activities.

#### **B. Global Bureau Collaboration**

The US-AEP's collaboration with the Global Bureau in FY 2000 will involve buy-ins of about \$2.1 million, for eight activities (listed in the accompanying table) managed by the Global Bureau's Environment and Economic Centers. The level of funding required for Global Bureau support in FY 2001 will be about \$1 million.

#### **C. New Requests**

The proposed FY 2001 level of \$19,100,000 (which is consistent with the Congressional Presentation) is an increase over the FY 2000 availability. However, if that amount is not provided for next year, the US-AEP will be severely constrained, particularly in terms of program expansion into new parts of the ANE region, increasing the amount of effort on GCC activities, and providing sufficient forward-funding for major new contracts.

The proposed budget of \$19,300,000 for FY 2002 would provide the level of resources which the US-AEP has requested (but not received) as its annual level for the previous two fiscal years. It represents the minimum which the US-AEP feels is required annually to continue to manage its on-going and expanding activities.

In view of the US-AEP's substantial achievements, as reflected in this R-4, the very positive evaluation and IG reports that have recently been issued, and the domestic political support which the program brings to USAID, the ANE Bureau should "build on success" by supporting the FY 2002 request level.

#### **D. Pipeline Status**

Unlike many other operating units, the US-AEP does not have the classic problem of a lengthy pipeline. Its problem, particularly in the past several years, has been *not enough of a pipeline* to sustain the funding for its major contracts and grant agreements. Technical Notifications to the Congress and other mechanisms had to be employed in order to avoid costly termination or stop orders from being issued. Core contracts and grants (many of which are being renegotiated this year) should start the fiscal year with a nine to twelve month pipeline. Only with higher funding levels can such a pipeline status be achieved.

#### **E. Operating Expenses (OE)**

The accompanying workforce tables show the previously approved increase of one program-funded position for which we are currently recruiting: a new middle-level RSSA to handle the Secretariat's increasing program management workload, particularly in responding to the imperatives of the Agency's New Management System.

Given the US-AEP's wide-ranging activities and many partners throughout the U.S. and Asia, the members of the small Secretariat are required to engage in substantial domestic and international travel. However, the Secretariat's current allotment of OE funds for travel purposes has not been sufficient to cover all of its legitimate travel requirements. Thus, a 25 percent increase in travel funds is urgently requested for FY 2001 and 2002.

## Accessing Global Bureau Services Through Field Support and Buy-Ins

Objective Name	Field Support and Buy-Ins: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)			
				FY 2000		FY 2001	
				Obligated by:		Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
SO 1: Promote a Clean Revolution in Asia	G/ENV contract with IRG/EPIQ: PCE-I-00-96-0002-00	High	Jul 1998 - Dec 2000	100		100	
SO 1: Promote a Clean Revolution in Asia	G/ENV Energy IQC with Hagler-Bailly: LAG-I-00-98-00005-00	Hlgh	Dec 1997 - Dec 2002	380		110	
SO 1: Promote a Clean Revolution in Asia	G/ENV Cooperative Agreement with Alliance to Save Energy: LAG-A-00-97-00006-00	High	Mar 1997 - Feb 2002	300		200	
SO 1: Promote a Clean Revolution in Asia	G/EGAD/BD Contract for Environmental Technology Network for Asia (ETNA): PEC-C-00-97-00002-00	High	Dec 1996 - Feb 2001	340		360	
SO 1: Promote a Clean Revolution in Asia	G/ENV Sustainable Urbam Management (SUM) IQC: LAG-I-00-00-000 [+ 08-00 ICMA; 35-00 PADCO]	High	Feb 1999 - Feb 2002	562		100	
SO 1: Promote a Clean Revolution in Asia	G/ENV Cooperative Agreement with ICMA for Resource Cities: LAG-A-00-99-00020-00	High	Sep 1999 - Sep 2001	330		100	
SO 1: Promote a Clean Revolution in Asia	G/ENV Cooperative Agreement with ICLEI: LAG-A-00-99-00001-00	High	Oct 1998 - Oct 2000	110		110	
SO 1: Promote a Clean Revolution in Asia	G/ENV SEGIR IQC: PCE-I-00-98-00013-00	High	Dec 1998 - Aug 2003	752		0	
<b>GRAND TOTAL.....</b>				<b>2,122</b>		<b>1,080</b>	

\* For Priorities use high, medium-high, medium, medium-low, low



## FY 2000 Budget Request by Program/Country

Fiscal Year: 2000

Program/Country: USAEP Secretariat

Approp:

Scenario:

S.O. # , Title		FY 2000 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2000
	Bilateral/Field Spt	Total	Agriculture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 1: To Promote a Clean Revolution in Asia															
	Bilateral	12,878						0				12,878		9,500	3,378
	Field Spt	2,122												1,800	322
		15,000	0	0	0	0	0	0	0	0	0	15,000	0	11,300	3,700
SO 2:															
	Bilateral														
	Field Spt														
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		12,878	0	0	0	0	0	0	0	0	0	12,878	0	9,500	3,378
Total Field Support		2,122	0	0	0	0	0	0	0	0	0	2,122	0	1,800	322
<b>TOTAL PROGRAM</b>		<b>15,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>15,000</b>	<b>0</b>	<b>11,300</b>	<b>3,700</b>

FY 2000 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	15,000
Program ICASS	0
GCC (from all Goals)	5,000

FY 2000 Account Distribution (DA only)	
Dev. Assist Program	15,000
Dev. Assist ICASS	
Dev. Assist Total:	15,000
CSD Program	0
CSD ICASS	
CSD Total:	0

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account. (\*\*) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

## FY 2001 Budget Request by Program/Country

Fiscal Year: 2001

Program/Country: USAEP Secretariat

Approp:

Scenario:

S.O. # , Title		FY 2001 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2001
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 1: To Promote a Clean Revolution in Asia															
	Bilateral	18,020						2,000				16,020		13,500	4,520
	Field Spt	1,080										1,080		900	180
		19,100	0	0	0	0	0	2,000	0	0	0	17,100	0	14,400	4,700
SO 2:															
	Bilateral														
	Field Spt														
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		18,020	0	0	0	0	0	2,000	0	0	0	16,020	0	13,500	4,520
Total Field Support		1,080	0	0	0	0	0	0	0	0	0	1,080	0	900	180
<b>TOTAL PROGRAM</b>		<b>19,100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>17,100</b>	<b>0</b>	<b>14,400</b>	<b>4,700</b>

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	2,000
Environment	17,100
Program ICASS	0
GCC (from all Goals)	6,367

FY 2001 Account Distribution (DA only)	
Dev. Assist Program	17,100
Dev. Assist ICASS	
Dev. Assist Total:	17,100
CSD Program	2,000
CSD ICASS	
CSD Total:	2,000

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account. (\*\*) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

## FY 2002 Budget Request by Program/Country

Fiscal Year: 2002

Program/Country: USAEP Secretariat

Approp:

Scenario:

S.O. # , Title		FY 2002 Request												Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2002
	Bilateral/Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
SO 1: To Promote a Clean Revolution in Asia															
	Bilateral	18,200						0				18,200		13,800	4,700
	Field Spt	800										800		700	100
		19,300	0	0	0	0	0	0	0	0	0	19,300	0	14,500	4,800
SO 2:															
	Bilateral														
	Field Spt														
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		18,200	0	0	0	0	0	0	0	0	0	18,200	0	13,800	4,700
Total Field Support		800	0	0	0	0	0	0	0	0	0	800	0	700	100
<b>TOTAL PROGRAM</b>		<b>19,300</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>19,300</b>	<b>0</b>	<b>14,500</b>	<b>4,800</b>

FY 2002 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	19,300
Program ICASS	0
GCC (from all Goals)	6,433

FY 2002 Account Distribution (DA only)	
Dev. Assist Program	19,300
Dev. Assist ICASS	
Dev. Assist Total:	19,300
CSD Program	0
CSD ICASS	
CSD Total:	0

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account. (\*\*) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

Workforce Tables

Org: USAEP Secretariat End of year On-Board								Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>FY 2000 Estimate</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2									
<b>OE Funded: 1/</b>																
U.S. Direct Hire	4							4							0	4
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0							0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	4
<b>Program Funded 1/</b>																
U.S. Citizens	4							4							0	4
FSNs/TCNs	1							1							0	1
Subtotal	5	0	0	0	0	0	0	5	0	0	0	0	0	0	0	5
Total Direct Workforce	9	0	0	0	0	0	0	9	0	0	0	0	0	0	0	9
TAACS								0							0	0
Fellows	2							2							0	2
IDIs								0							0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	2
TOTAL WORKFORCE	11	0	0	0	0	0	0	11	0	0	0	0	0	0	0	11

Workforce Tables

Org: USAEP Secretariat End of year On-Board								Total SO/SpO	Org. Mgmt.	Fin. Mgmt.	Admin. Mgmt.	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>FY 2001 Target</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2									
<b>OE Funded: 1/</b>																
U.S. Direct Hire	4							4							0	4
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0							0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	4
<b>Program Funded 1/</b>																
U.S. Citizens	4							4							0	4
FSNs/TCNs	1							1							0	1
Subtotal	5	0	0	0	0	0	0	5	0	0	0	0	0	0	0	5
Total Direct Workforce	9	0	0	0	0	0	0	9	0	0	0	0	0	0	0	9
TAACS								0							0	0
Fellows	2							2							0	2
IDIs								0							0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	2
TOTAL WORKFORCE	11	0	0	0	0	0	0	11	0	0	0	0	0	0	0	11

Workforce Tables

Org: USAEP Secretariat End of year On-Board								Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt.	Admin. Mgmt.	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>FY 2002 Target</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2									
<b>OE Funded: 1/</b>																
U.S. Direct Hire	4							4							0	4
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0							0	0
Subtotal	4	0	0	0	0	0	0	4	0	0	0	0	0	0	0	4
<b>Program Funded 1/</b>																
U.S. Citizens	4							4							0	4
FSNs/TCNs	1							1							0	1
Subtotal	5	0	0	0	0	0	0	5	0	0	0	0	0	0	0	5
Total Direct Workforce	9	0	0	0	0	0	0	9	0	0	0	0	0	0	0	9
TAACS								0							0	0
Fellows	2							2							0	2
IDIs								0							0	0
Subtotal	2	0	0	0	0	0	0	2	0	0	0	0	0	0	0	2
TOTAL WORKFORCE	11	0	0	0	0	0	0	11	0	0	0	0	0	0	0	11

# USDH Staffing Requirements by Backstop, FY 2000 - FY 2003

Mission: USAEP Secretariat

Functional Backstop (BS)	Number of USDH Employees in Backstop in:			
	FY 2000	FY 2001	FY 2002	FY 2003

Senior Management				
<b>SMG - 01</b>	1	1	1	1
Program Management				
<b>Program Mgt - 02</b>	2	2	2	2
<b>Project Dvpm Officer - 94</b>	1	1	1	1
Support Management				
<b>EXO - 03</b>				
<b>Controller - 04</b>				
<b>Legal - 85</b>				
<b>Commodity Mgt. - 92</b>				
<b>Contract Mgt. - 93</b>				
<b>Secretary - 05 &amp; 07</b>				
Sector Management				
<b>Agriculture - 10 &amp; 14</b>				
<b>Economics - 11</b>				
<b>Democracy - 12</b>				
<b>Food for Peace - 15</b>				
<b>Private Enterprise - 21</b>				
<b>Engineering - 25</b>				
<b>Environment - 40 &amp; 75</b>				
<b>Health/Pop. - 50</b>				
<b>Education - 60</b>				
<b>General Dvpm. - 12*</b>				
<b>RUDO, UE-funded - 40</b>				

<b>Total</b>	4	4	4	4
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**\*GDO - 12:** for the rare case where an officer manages activities in several technical areas, none of which predominate, e.g., the officer manages Democracy, Health, and Environment activities that are about equal. An officer who manages primarily Health activities with some Democracy and Environment activities would be a Health Officer, BS 50.

remaining **IDIs**: list under the Functional Backstop for the work they do.

Please e-mail this worksheet in Excel to: Maribeth.Zankowski@HR.PPIM@aidw as well as include it with your R4 submission.

## **PART IV. ANNEXES**

### **Annex A The Refined Results Framework**

#### **1. Introduction**

Over the past year, the US-AEP conducted an intensive review of its Results Framework (RF), which led to a number of refinements to the RF, particularly at the Intermediate Results level.

The review involved intensive discussions and written communications with representatives of all of the US-AEP's partners in the U.S. and Asia. The timing of the review coincided with the issuance of ten major internal evaluation reports and a management audit report by the USAID Inspector General. Some of the refinements were based on the recommendations contained in those reports.

Tab A of this Annex shows the old Results Framework, with the Indicators that were dropped last year shaded, and the old Indicators that were still used in this year's R-4 circled.

Tab B shows the refined RF, *which was the basis for this year's R4*. Before describing the refinements, it is important to note that further refinements are expected over the next half year, particularly in terms of Indicators, as a result of the on-going re-competition of the US-AEP's major support contracts. All of the new Indicators (and instructions for collecting the appropriate data) will be spelled out in an expanded Performance Monitoring Plan.

#### **2. The Refined US-AEP Goal: *To promote a clean revolution in Asia.***

The wording of the goal was changed slightly by adding "to promote" as the first two words. This phrase has regularly appeared in other US-AEP documents, but had been missing from the goal statement in the RF.

#### **3. The Refined Strategic Objective 1: *Impact on the key people, institutions and forces which drive the movement to a clean revolution in Asia.***

The wording of the SO was expanded slightly for greater clarity. The old SO wording had referred to the "key drivers" of the revolution. The new wording defines the drivers as *'the key people, institutions and forces.'*

#### **4. The New Intermediate Results**

Four new Intermediate Results have been developed, corresponding to the responsibilities of the four Program Management Groups which support the Secretariat in designing and implementing the US-AEP's four major program components. The new IRs are:

**Intermediate Result 1.1: *Improved public policy and environmental regulation.***



**Intermediate Result 1.2:** *Improved urban environmental management.*

**Intermediate Result 1.3:** *Improved corporate governance and environmental management.*

**Intermediate Result 1.4:** *Increased transfer of U.S. environmental technology, expertise and practices to Asia through trade and investment.*

#### **4. The New Performance Indicators**

Two new Indicators have been added at the SO level, and four new Indicators have been added at the IR level.

The six pages which follow define the new Indicators and provide additional information on the sources and frequency of the performance data being collected.

**Strategic Objective 1:** Impact on the key people, institutions and forces which drive the movement to a clean revolution in Asia.

**Indicator 1.d:** *The number of institutions (U.S. and Asian) impacted by US-AEP activities.*

#### **Definition**

Institutions include U.S. state agencies, universities, NGOs, business associations, multi-lateral corporations and small private firms which have been impacted by: a) their hosting US-AEP-supported exchanges involving Asians coming to the U.S. for training, workshops, seminars, study tours, trade shows, and the like; and/or b) participating in US-AEP-supported exchanges in Asia, e.g., in providing technical assistance and conducting pilot demonstrations.

Institutions also include Asian public and private sector agencies and groups which have been impacted by their participation in a) one or more US-AEP programs, primarily the Environmental Exchange Program, but also the Environmental Technology Fund (ETF) and the Overseas Program Fund (OPF) that brought them to the U.S.; and/or b) hosting US-AEP activities, such as international conferences, trade shows and site visits in Asia.

#### **Source**

The main source of the data for this Indicator is the data base of the Environmental Institutions Network (EIN) maintained for the Secretariat by the International Institute of Education (IIE). The EIN is a record of all the U.S. and Asian institutions involved in the Environmental Exchange Program (EEP), plus ad hoc information on other institutions involved in other US-AEP programs like the ETF and OPF.

#### **Frequency**

The EIN is continuously updated by the IIE throughout the year.

**Strategic Objective 1:** Impact on the key people, institutions and forces which drive the movement to a clean revolution in Asia.

**Indicator 1.e:** *The dollar value of the resources leveraged by the US-AEP from non-USAID sources.*

**Definition**

The dollar value of the funds, in-kind support and pro bono services provided by other Federal agencies, U.S. state agencies, and all the other US-AEP partners in the U.S. and Asia, to support various US-AEP programs.

**Source**

The US-AEP's Technical Support Services Contractor, the International Resources Group (IRG), maintains records on the financial resources leveraged by all the partners.

**Frequency**

The data collection is an annual exercise, which the IRG conducts after the end of each fiscal year, in correspondence with the partners in both the U.S. and Asia.

**Intermediate Result 1.1:** Improved public policy and environmental regulation.

**Indicator 1.1.a:** *The number of environmental laws and regulations strengthened through US-AEP activities.*

**Definition**

New or revised national, provincial or municipal laws and/or regulations on environmental performance which are being drafted, or have been adopted or are being implemented as a result of the activities of one or more of the US-AEP's partners.

**Source**

The source of the data *for this year's R-4* was an ad hoc data collection exercise conducted by a consultant for the US-AEP over a three-month period at the end of 1999 and the beginning of 2000. The exercise involved interviews with approximately 50 officials of the Secretariat and the US-AEP's partners in Washington, D.C., other parts of the U.S., and five countries of Asia. Additional data was collected from partners in the U.S. and seven other Asian countries through conference calls and E-mail and fax exchanges.

**Comment**

In the future, this data will be compiled on a regular basis by the US-AEP's Technical Support Services Contractor.

**Frequency**

The partners will be tasked with collecting the data throughout the year, and providing it to the Technical Support Services Contractor two months before the next R-4 is prepared.

**Intermediate Result 1.2:** Improved urban environmental management.

**Indicator 1.2.a:** *The number of municipalities engaged in US-AEP-supported improvements in environmental management.*

**Definition**

Municipalities are defined as urban jurisdictions, including major cities and towns, as well as separate jurisdictions in large metropolitan areas, such as the 17 jurisdictions which make up Metro Manila. They are considered to be *engaged* if they are actively involved in one or more US-AEP programs, e.g., the State Environmental Initiative or the Clean Air Initiative.

**Source**

The source of the data for this year's R-4 was an ad hoc data collection exercise conducted by a consultant for the US-AEP over a three-month period at the end of 1999 and the beginning of 2000. The exercise involved interviews with approximately 50 officials of the Secretariat and the US-AEP's partners in Washington, D.C., other parts of the U.S., and five countries of Asia. Additional data was collected from partners in the U.S. and seven other Asian countries through conference calls and E-mail and fax exchanges.

**Comment**

In the future, this data will be compiled on a regular basis by the US-AEP's Technical Support Services Contractor.

**Frequency**

The partners will be tasked with collecting the data throughout the year, and providing it to the Technical Support Services Contractor two months before the next R-4 is prepared.

**Intermediate Result 1.4:** Increased transfer of U.S. environmental technology, expertise and practices to Asia through trade and investment.

**Indicator 1.4.a:** *The dollar value of US-AEP-assisted sales of U.S. environmental equipment and services.*

### **Definition**

US-AEP-assisted sales are defined as any sales in Asia by U.S. companies that can be attributed to: a) the support and assistance which they received through one or more US-AEP programs, e.g., the Environmental Technology Fund, the State Environmental Initiative, the Overseas Program Fund, the Environmental Exchange Program, etc.; and b) ad hoc advice and assistance which the companies received from the US-AEP Technology Representatives or other partners in Asia.

### **Source**

This data is collected on a continuing basis by the US-AEP's Technical Support Services Contractor, the International Resources Group (IRG). The data is compiled from the US-AEP Technology Representatives and other partners.

### **Frequency**

The data is collected throughout the year and compiled into an annual figure by the IRG.

### **Comment**

The IRG does not take the reports of sales at face value. Every sale reported by a "Tech Rep" or other partner is checked with the U.S. firm that reportedly made the sale. Only if the sale is confirmed by the company in writing does it become part of the official record of US-AEP-assisted sales. Reporting on sales often lags several years behind the assistance, because it often takes several years before sales actually occur.

**Intermediate Result 1.4:** Increased transfer of U.S. environmental technology, expertise and practices to Asia through trade and investment.

**Indicator 1.4.b:** *The number of US-AEP-assisted business transactions, other than sales, between U.S. and Asian companies.*

**Definition**

Non-sales transactions include joint ventures, agent distributorships, licensing agreements, contracts and Memoranda of Understanding between U.S. and Asian companies that can be attributed to: a) the support which they received through one or more US-AEP programs, e.g., the Environmental Technology Fund, the State Environmental Initiative, the Overseas Program Fund, the Environmental Exchange Program, etc.; and b) ad hoc assistance which the companies received from the US-AEP Technology Representatives or other partners in Asia.

**Source**

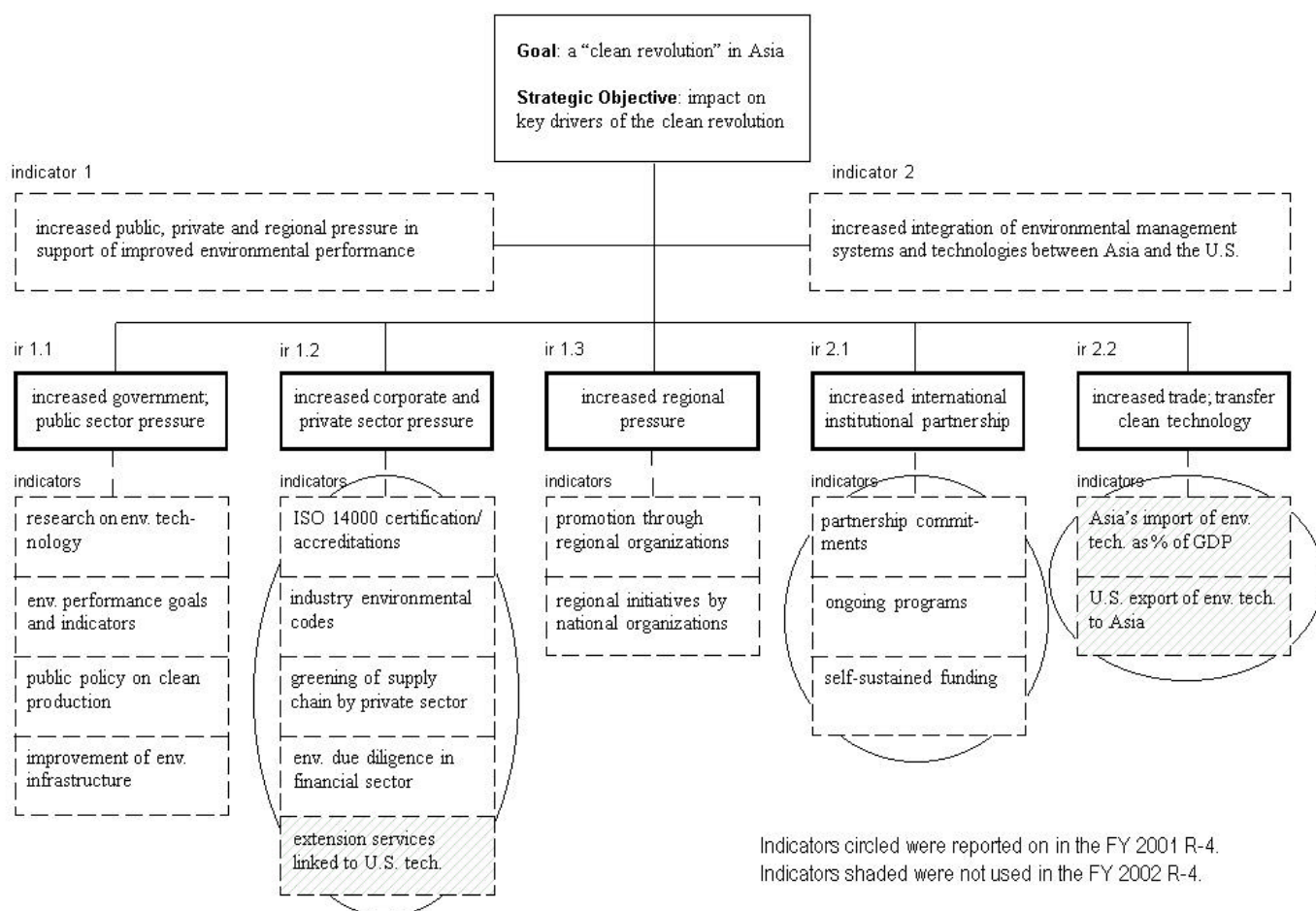
This data is collected on a continuing basis by the US-AEP's Technical Support Services Contractor, the International Resources Group (IRG). The data is compiled from the US-AEP Technology Representatives and other partners.

**Frequency**

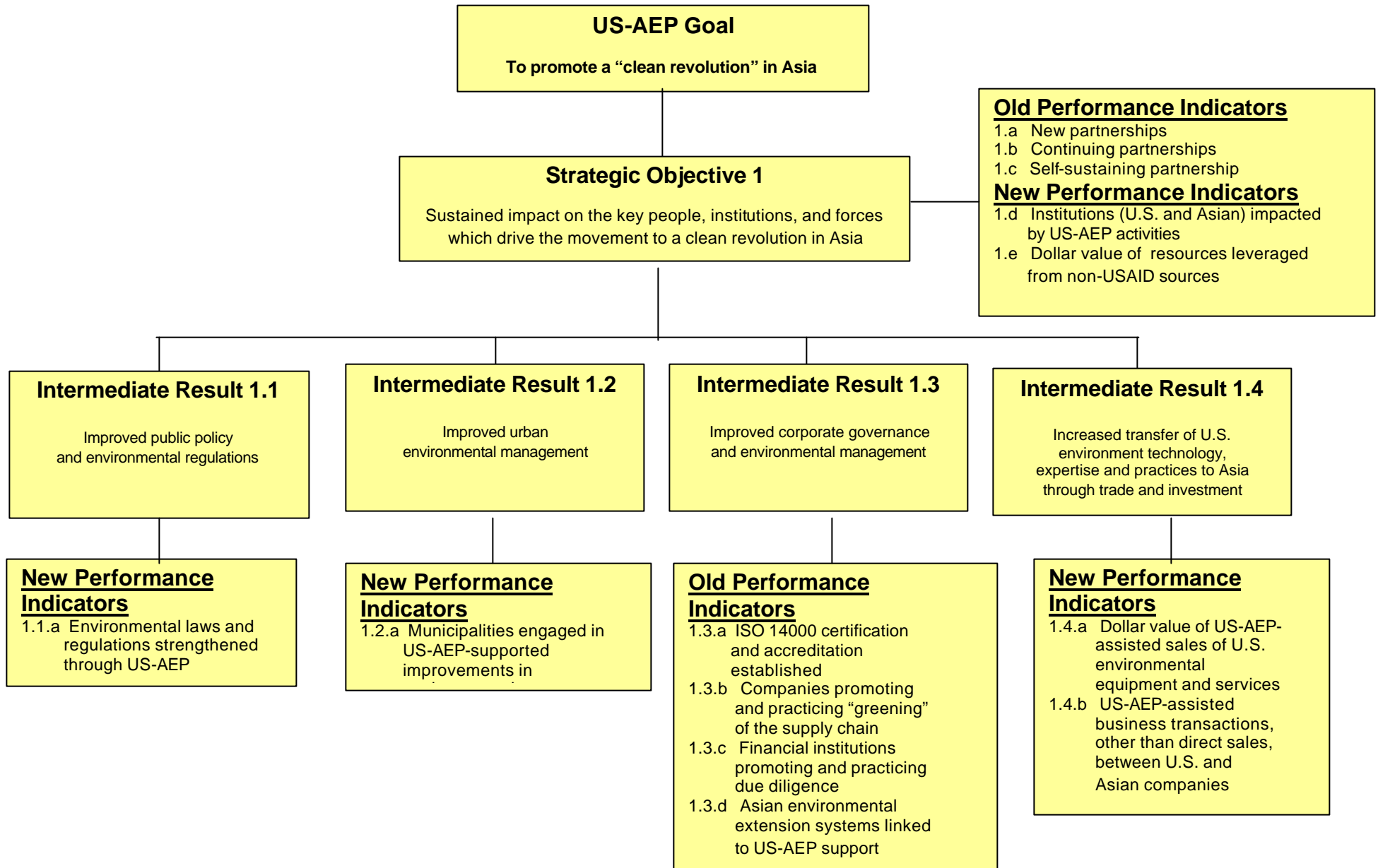
The data is collected throughout the year and compiled into an annual total by the IRG.

United States - Asia Environmental Partnership (US-AEP)  
Strategic Framework

**Tab A**



# United States - Asia Environmental Partnership (US-AEP) Results Framework





## ANNEX B

### Details on the Old Indicator Results

#### 1. Partnerships

Partnerships between U.S. and Asian institutions are the main mechanism by which the US-AEP seeks to achieve its goal of a clean revolution in Asia, and FY 1999 was a record year in terms of new and continuing partnerships.

Strategic Objective 1: Impact on the key people, institutions and forces which drive the movement to a clean revolution in Asia.				
Performance Indicators	Fiscal Year	Planned	Actual	New Target
1.a. <i>New partnerships between U.S. and Asian institutions. (1 pt)</i>	1995	N/A	5	
	1996	10	10	
	1997	25	41	
1.b. <i>Continuing partnerships with US-AEP support. (1 pt)</i>	1998	40	60	
	1999	60	105	
	2000	80		110
1.c. <i>Partnerships which became self-sustaining in FY 99. (1 pt)</i>	2001	100		110
	2002			120
	2003			130
	2004			140

#### a. Results in FY 1999

As the table indicates, the cumulative target of 60 for FY 1999 was greatly exceeded by a score of 105. A score of 100 was not expected until 2001, but the number was reached *two years ahead of time*.

Most of the new partnerships reflect the US-AEP's increasing emphasis on development, as opposed to strictly commercial, activities over the past year.

A significant milestone in terms of US-AEP "partnering" was the official opening in December of 1999 of the Environmental Center for Livestock Waste Management (ECLWM) at the National Pintung University of Science and Technology in Taiwan. The ECLWM was established with the support of a consortium of U.S. universities and companies, brought together with their partners in Taiwan through a series of US-AEP initiatives over the past three years. The Center will help address the pressing problem of livestock waste in Asia and the U.S. in an environmentally sound and cost-effective manner.

The following table shows the partnership breakout by category and country:

Old Performance Indicators on Partnerships – FY 1999				
Country	1.a (new)	1.b continuing)	1.c (sustaining)	Total
Hong Kong	3		1	4
India	6	10		16
Indonesia	3	5		8
Korea		1	1	2
Malaysia	5	1		6
Philippines	16	18		34
Singapore	2	1	1	4
Sri Lanka	2	1		3
Taiwan	3	2		5
Thailand	5	5		10
Vietnam	1			1
Nepal	1	4		5
Bangladesh	1	4		5
Regional		2		2
	48	54	3	105

The table includes partnerships that were reported in three countries for the first time: Nepal, Bangladesh and Vietnam. The Philippines, with 16, recorded the most new partnerships. The overall number of new partnerships (48) is particularly gratifying; it represents a substantial expansion of the US-AEP's influence and activities.

The partnerships listed as *regional* are two of the most important in Asia: the Asian Development Bank (ADB), and the Greening of Industry Network (GIN), which has its Asia base at Chulalongkorn University (another important US-AEP partner) in Bangkok.

## **b. Planned Results in FY 2000**

Given the impressive number of partnerships reported in FY 1999, the original performance targets for FY 2000 and beyond are out of date. Thus, the first partnership table (page four) establishes a new target of 110 for the budget year. Although new partnerships will clearly be sought, a high priority will be given to moving more of the on-going partnerships into the self-sustaining column.

## **2. Corporate Environmental Performance**

Most of the US-AEP's corporate environmental activities have fallen under the rubric of the Clean Technology and Environmental Management (CTEM) program, managed by the Louis Berger Group. The acronym CTEM has achieved significant name recognition in the U.S. and Asia. Starting in FY 1995, the US-AEP began to measure CTEM and its corporate environmental performance activities in terms of the five Indicators shown in the old RF (Tab A).

One of those Indicators (industry codes established) was dropped last year. The other four were used to measure performance in FY 1999, and the four tables which follow show that *all of the targets were either met or exceeded*.

Intermediate Result 1.3: Improved corporate governance and environmental management.			
Performance Indicator 1.3.a: <i>ISO 14000 certification established</i> .			
1) National ISO 14000 accrediting agency and at least one national certifying agency established. (one point/country)			
International reciprocity for local accreditation/certification. (one point/country)			
Country	Agencies	Reciprocity	Points
Hong Kong	1		1
India	1		1
Indonesia	1		1
Korea	1	1 ( FY 99)	2
Malaysia	1	1 ( FY 99)	2
Philippines	1		1
Singapore	1		1
Sri Lanka	1 (FY 99)		1
Taiwan	1	1 ( FY 99)	2
Thailand	1		1
FY 1999 Target: 13	10	3	13

#### **a. ISO 14000 Results**

The table shows that in FY 1999 there was a new accrediting agency in Sri Lanka, and that three new countries achieved international reciprocity through the International Accreditation Forum (IAF): Korea, Malaysia and Taiwan.

With nine previous points from earlier years, and four new points in FY 1999, the cumulative target of 13 for last year was exactly met.

Intermediate Result 1.3: Improved corporate governance and environmental management			
Performance Indicator 1.3.b: <i>Greening of the supply chain</i> .			
1) At least one local “champion” (industry association, NGO, leading corporation) actively promoting “greening.” (one point/country)			
U.S. companies with suppliers in Asia and major Asian companies adopting programs to “green” their supply chain. (one point/country)			

Country	Champions	Companies	Points
Hong Kong			
India	1 (FY 99)	1 (FY 99)	2
Indonesia	1	1	2
Korea		1	1
Malaysia	1 (FY 99)		1
Philippines		1	1
Singapore			
Sri Lanka			
Taiwan	1	1 (FY 99)	2
Thailand	1	1	2
United States	2	5	7
FY 1999 Target: 15	7	11	18

## b. Greening” Results

The table shows that four points were scored in FY 1999, for new “champions” in India and Malaysia, and for U.S. or Asian companies in India and Taiwan. Thus, with 12 points from the earlier years, and the FY 1999 cumulative target of 15, the target was exceeded by three.

In earlier years, CTEM’s efforts were mainly focused on the textiles and apparel, metal finishing and fabrication, and auto industries. The focus in FY 1999 moved to the electronics industry, where there has been a successful engagement with leading U.S. and Asian multi-nationals and industry associations.

Intermediate Result 1.3: Improved corporate governance and environmental management			
Performance Indicator 1.3.c: <i>Environmental due diligence.</i>			
1) At least one “champion” (banking association, NGO, leading bank) in each country and in the U.S. actively practicing due diligence. (one point/country)			
2) At least two private banks incorporating due diligence in their lending practices. (one point/country)			
Country	Champions	Banks	Points
Hong Kong			
India	1	1	2
Indonesia		1	1
Korea			
Malaysia		1 (FY 99)	1
Philippines	1	1	2
Singapore			
Sri Lanka	1	1	2
Taiwan	3 (FY 99)	1 (FY 99)	4
Thailand	1		1
Regional	2 (FY 99)		2
U.S.	1 (FY 99)		1
FY 1999 Target: 15	10	6	Total: 16

### c. Due Diligence Results

The table shows that the FY 1999 cumulative target of 15 was exceeded by one. One of the new regional “champions” is the Association of Development Finance Institutions of Asia and the Pacific (ADFIAP), with 78 member development finance institutions in the region. Through its outreach and training programs the ADFIAP is urging its members to incorporate environmental management in their lending and credit practices.

The other new regional “champion” is the 300-member Asia Bankers Congress, a private commercial banking group. As evidence of its commitment to due diligence, the group has asked the US-AEP to make presentations on the subject at its annual “Learning Congress,” being held this year in Kuala Lumpur.

The big increase in Taiwan includes the engagement of the Bank Association of the Republic of China, the China Development Bank, the Business Council for Sustainable Development, and the International Commercial Bank of China. With scores of branches in Taiwan and other Asian countries, these four institutions add significant new due diligence coverage in the region. It should also be noted that the US-AEP has successfully engaged the Asian Development Bank in the pursuit of due diligence. The ADB has commissioned case studies of *the US-AEP's success* in promoting due diligence, and will use the results to develop a training program for use throughout Asia.

Intermediate Result 1.3: Improved corporate governance and environmental management.			
Performance Indicator 1.3.d: <i>Extension systems linked to U.S. support.</i>			
1) At least one organization (government agency, business or industry association, Utility, consulting agency, academic or technical institution, or NGO) with proactive outreach (promotion, training, information services) for improved environmental performance (one-half point/country)			
2) A least one organization with self-sustaining links to U.S. technical support. (one-half point/country)			
Country	Outreach	Links	Points
Hong Kong	½	½	1
India	½	½	1
Indonesia	½	½	1
Korea			
Malaysia	½ ( FY 99)	½ ( FY 99)	1
Philippines	½	½	1
Singapore	½	½	1
Sri Lanka			
Taiwan	½	½	1
Thailand	½	½ ( FY 99)	1
FY 1999 Target: 7	4	4	8

#### **d. Extension System Results**

The table shows that there were one and one-half points scored in FY 1999, including a new outreach organization in Malaysia, and U.S. links established by organizations in Malaysia and Thailand. This means that the FY 1999 target was exceeded by one. Although no new points were scored for the Philippines, India and Indonesia last year, CTEM continued to strengthen the established extension systems in those three key countries.

#### **e. CTEM Results in FY 2000**

This R-4 does not include any further targets for results linked to Intermediate Result 1.3: *improved corporate environmental management*. The CTEM work associated with IR 1.3, which has been mainly performed by a private contractor, is coming to a close this year.

The highly successful CTEM program is being recast as part of the on-going re-competition exercise, which will result in a new contract for new activities designed to further promote improved corporate environmental management (with appropriate new Performance Indicators).

**ANNEX C**  
**U.S.-ASIA ENVIRONMENTAL PARTNERSHIP**  
A Regional Program of the Asia and Near East Bureau  
**FY 1999 Global Climate Change Results**

The U.S.-Asia Environmental Partnership (USAEP) and its partners conducted 69 FY 1999 activities related to global climate change (GCC) in 14 Asian countries: Bangladesh, Hong Kong, India, Indonesia, South Korea, Malaysia, Nepal, Philippines, Singapore, Sri Lanka, Taiwan, Thailand, and Vietnam. About 70% of USAEP's FY 1999 GCC-related activities targeted the efficient use of resources, including energy, and the conversion of waste to energy and products. Other activities included waste minimization, power sector reform, efficient electricity generation and transmission, and renewable energy. Through its program with the National Association of State Development Agencies, 19 projects were carried out by small- to medium-sized U.S. private sector firms. These firms offered training and demonstrations of GCC-related technologies and practices in 11 Asian countries, most of which involved ways of converting waste to either energy or products, and recycling, recovering, and reusing materials. There were also 29 GCC-related professional exchanges and study tours conducted through USAEP's Environmental Exchange Program. Three-quarters of these addressed the conversion of waste to energy and products, and enhancing the efficient use of energy and resources. In addition to the 69 activities, USAEP's field presence of 14 Technology Representative Offices in 11 countries generated \$6.6 million in confirmed, USAEP-assisted exports of energy and other GCC-related technologies and services. Target GCC countries for USAEP FY 1999 funds were India, Indonesia, South Korea, and the Philippines, where 70% of USAEP's FY 1999 GCC-related activities were implemented. A few select examples of these activities are described in more detail below. Also, USAEP contributed \$1.5 million to USAID/Bangladesh to launch a major energy program there.

**India**

USAEP and the Global Bureau Energy Office jointly funded a series of four seminars on "Energy-Efficient Technologies and Practices for Industry", followed by a Policy Roundtable on incorporating energy efficiency into power sector reform and using reforms and policies to promote energy efficiency. The speakers were from Indian and American companies supplying energy saving products and services, speaking for the purpose of educating the audience on the merits of various technologies and practices relevant to the audience's particular sector(s). The audiences consisted of decision makers from industrial and other commercial enterprises in India. The advantages of drawing upon U.S. private firms for educating Indian enterprises is three-fold: 1) the likelihood for generating technology transfer, sales and joint ventures is high; 2) the U.S. companies have the incentive and ability to follow up with the seminar participants; and 3) private resources are leveraged to augment the USAID and USAEP resources (about \$33,000 for this activity). Another important result of the series is that the project implementor, the Alliance to Save Energy, worked closely with their Indian counterpart organizations to design the events, largely leaving on-the-ground organization and networking to the local organizations. As a result, these events greatly increased the visibility and credibility of the fledgling Council of Energy Efficiency Companies of India and the Indian NGO Conserve. The

project reached an extensive audience of decision makers looking to improve the efficiency of their operations, with a total of 442 people from 344 factories, utilities, and other organizations participating in the five events. Periodically over the next year, the Alliance to Save Energy will contact the participating energy efficiency companies to see if the seminars resulted in the implementation of energy efficiency projects. There have already been some immediate developments resulting from the seminars. As a result of the Ludhianna seminar, CEECI is establishing a local chapter to work with the Ludhianna Management Association to improve the energy efficiency of local industries, such as foundries. As a result of the Bangalore seminar, CEECI established a Task Force on Information Technology which will include a number of large companies, including Texas Instruments.

The Policy Roundtable was the first of its kind in India in that it emphasized the participation of energy efficiency companies and gave policy makers and energy efficiency advocates a “view from the trenches”. The main focus of the roundtable was the role of energy efficiency in India’s power sector reforms. Participants included 80 suppliers of energy saving equipment and services and representatives from key government agencies, including the Joint Secretary of the Ministry of Power. The next day, the CEECI Board met and agreed to formally present a polished version of the power sector reform message delivered at the roundtable to the Ministry of Power, Ministry of Finance, and Central Electricity Regulatory Commission, including a call for reductions in tariffs on energy efficient equipment. Also as a result of the roundtable, CEECI members (including Enron) are working with the Indian Renewable Energy Development Agency (IREDA) to develop performance contracting projects using IREDA’s funding.

The USAEP office in Chennai generated interest by starch (“sago”) manufacturing facilities in the Salem District of Tamil Nadu in recovering methane emissions from their effluents. (Sago is processed from the roots of tapioca, a major agricultural crop of the Salem District.) In 1997 the Tamil Nadu Pollution Control Board banned starch facilities from routing untreated effluent to open gutters, and the government of Tamil Nadu ordered the closure of more than 80 plants due to failure to comply with the environmental standards. As a result, the Salem Chamber of Commerce and Industry (SCCI) approached the US-AEP office in Chennai for help addressing these issues. The Chennai office recruited and worked with the New Jersey Institute of Technology (NJIT) and the U.S. Association of Energy Engineers (AEE) to identify environmental solutions. NJIT conducted a feasibility study, finding that manufacturing facilities in Salem, numbering over 800, produce enough methane to generate about 80 MW of power. NJIT recommended a process that will not only treat the wastewater but also recover energy from the effluents in the form of methane gas. Based on NJIT’s recommendation, the Salem Chamber of Commerce and Industry (SCCI) implemented a demonstration project in partnership with one of the local Sago industries, demonstrating the generation of energy from methane emissions to the local industries, public and media. The SCCI pilot project was given the 1999 “Energy Project of the Year—International” award from the Association of Energy Engineers, the first Indian organization to receive the award. (AEE is the world’s largest international association of energy and environmental professionals). Inspired by this success, the Tamil Nadu Energy Development Agency (TEDA) has invited public bids for the construction of a biomethanation plant (estimated at \$720,000) for energy recovery from starch effluents.

USAEP also launched a public-private partnership that included the Society of Indian Automotive Manufacturers (SIAM), the Automotive Research Association of India (the non-



profit research arm of SIAM), India's 2-wheeler manufacturers, and Delhi and Central government agencies on a major voluntary effort to improve inspections and maintenance (I&M) of two-wheel motor vehicles. The Society of Indian Automotive Manufacturers and various partner organizations conducted the largest ever series of innovative inspection and maintenance camps in Delhi ("pollution control camps"), drawing over 65,000 drivers. In the process, an extensive set of data was collected on emissions, the vehicles, and drivers. The data will be used to improve emissions inventories and design future regulations and voluntary programs that promote regulatory compliance. The project is being continued in 2000 to promote ongoing I&M camps, public education, and stronger I&M regulations and enforcement.

## **Indonesia**

USAEP's Indonesia program in FY 1999 concentrated on easing the effects of the financial crisis. Relating to global climate change, USAEP sponsored and helped organize Water Efficiency Teams (WETs) to keep local water enterprises (PDAMs) operational and provide clean water to the country's poor. The WETs worked with the Government of Indonesia's PDAM Rescue and Recovery Program and the Association of Indonesian Water Enterprises. Administrative, financial and energy audits were rapidly made to recommend efficiency measures, keeping the water flowing in the short term and building the capacity of Indonesia's skilled professionals to help Indonesia's public water enterprises be more efficient and prosperous in the long-term. By the end of the first phase, at the end of May, the weakest PDAMs were evaluated by engineers and measures were taken to ensure that no PDAM on Java stopped service due to the effects of the financial crisis. In addition, project participants helped PDAMs obtain promises of tariff increases from the local government; assisted them with detailed financial recovery action plans; helped obtain a commitment of \$15 million in loan funds for the PDAM Rescue and Recovery Program from the World Bank; and worked with PDAMs to create plans for \$2 million of the loans.

In the second phase, fully funded by USAEP, audit/planning teams visited Java, Sumatra, and Sulawesi to help implement the financial recovery action plans created during the first phase. By the end of phase two, the WETs visited 54 PDAMs spanning 36 cities/regencies, and recovery plans were prepared with 39 PDAMs. Improvement plans have so far involved the expenditure of \$2.15 million in loans, 170,000 person days of employment, and \$200,000 in new connections. WET has already assisted in the programming and efficient use of \$250,000 in INPRES funds and \$150,000 in Asian Development Bank funds. Six more small PDAMs have, unsolicited, approached the WET members for help, based on the reputation of WET in the provinces. Importantly for the long-term viability of the PDAMs and efficient use of water resources, local governments have agreed to tariff increases in 32 cities. Twenty-four increases have already been implemented, which will generate an estimated \$12 million annually.

## **Philippines**

In the energy-intensive automobile manufacturing industry, USAEP worked closely with Ford Motor Company in the Philippines to promote the adoption of ISO 14000 principals within their automotive supply chain. The assembly line at Ford's newly inaugurated plant in the Philippines demands a steady flow of parts from its 38 local suppliers. In spite of the daily pressure to keep the assembly line moving, Ford is investing time and energy in working with their suppliers to improve their environmental performance.. The environmental issue was first discussed with Ford's 38 first tier local suppliers. Ford told the suppliers that they would be

developing an environmental management system (EMS) for themselves and would expect their suppliers to do the same. Ford Philippines received its ISO 14001 certification in August 1999. A survey determined that most of their suppliers plan to obtain certification over the next several years. To assist them, Ford and US-AEP scheduled awareness seminars on EMS for different classifications of production and non-production suppliers. US-AEP is developing a 5 stage EMS module based on the elements of ISO 14001. The first supplier to jump on the greening of the supply chain bandwagon was Fujitsu Ten Corporation of the Philippines, an ISO 14001 certified firm and USAEP partner. The company announced its plan to alter its purchasing practices to raise environmental awareness and encourage better practices among its suppliers.

### **South Korea**

In 1999, South Korea became the latest country to participate in the U.S. Government's Technology Cooperation Agreement Pilot Program (TCAPP). USAEP, the National Renewable Energy Lab (NREL), and the U.S. Environmental Protection Agency are supporting the program. During the first phase of Korea TCAPP, three priority technologies in which to promote technology transfer were chosen through a consultative process by the Korea Team (lead by the Korea Energy Management Corporation). The priority technologies are: Energy Management (energy service companies (ESCOs) and energy auditing), mostly in industry; Methane Capture from Municipal Waste, and Waste Heat Recovery. The concept paper and work plan have been written for the Energy Management component, and NREL is assisting the Korea Team in drafting concept papers and strategies for the other two technologies. The Business Council for Sustainable Energy (BCSE) is providing assistance in recruiting U.S. companies to participate. Phase two of the program, in which the planning during the first year is implemented, began in early 2000.

## FY99 Climate Change Reporting Guidance - Data Tables

*Please fill in the YELLOW cells to complete the table.*

Table 1 - Background Information	
Country, Region, Office, or Program Reporting:	
Name of person(s) completing tables:	
GCC Contact 1:	
SO Team (including SO number):	
GCC Contact 2:	
SO Team (including SO number):	
GCC Contact 3:	
SO Team (including SO number):	
Contact Information (USG mail)	
Address (1):	
Address (2):	
Street:	
City, Address Codes:	
Telephone number:	
Fax number:	
Email address:	
Other relevant information:	

Please fill in the YELLOW cells to complete the table.

TABLE 2						
Result 1: Increased Participation in the UNFCCC						
Indicator 1: Policy Development Supporting the Framework Convention on Climate Change						
Policy Measure	PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.					
	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CNTN Number for Activity
Ex: Integration of climate change into national strategic, energy, and sustainable development strategies	1	1		Gov't-established interagency group has completed all necessary analysis and preparation to develop NEAP. The government has also signed Annex b of the FCCC.	3.2	CN-23-222
Integration of climate change into national strategic, energy, and sustainable development strategies						
Emissions inventory						
Mitigation analysis						
Vulnerability and adaptation analysis						
National Climate Change Action Plan						
Procedures for receiving, evaluating, and approving joint implementation (JI) proposals						
Procedures for monitoring and verifying greenhouse gas emissions						
Growth baselines for pegging greenhouse gas emissions to economic growth						
Legally binding emission reduction targets and timetables						
Other (describe)						
Other						
Other						
Other						
Other						
Sub-total (number of policy steps achieved):	0	0	0			
TOTAL (number of policy steps achieved):	0					

Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.
Definitions: Types of Activities	
Adaptation	Adjustments in practices, processes or structures of systems to projected or actual changes of climate (may be spontaneous or planned).
Emissions inventory	Detailed listing of GHG sources and sinks.
Growth Baselines	An approach that would link countries' emissions targets to improvements in energy efficiency.
Joint Implementation (JI)	The process by which industrialized countries can meet a portion of their emissions reduction obligations by receiving credits for investing in GHG reductions in developing countries.
Mitigation	An action that prevents or slows the increase of greenhouse gases (GHGs) by reducing emissions from sources and sinks.
National Climate Change Action Plan	Plans that delineate specific mitigation and adaptation measures that countries will implement and integrate into their ongoing programs. These plans form the basis for the national communications that countries submit to the UNFCCC Secretariat.

Please fill in the YELLOW cells to complete the table.

TABLE 3					
Result 1: Increased Participation in the UNFCCC					
Indicator 2: Increased capacity to meet requirements of the UNFCCC					
Categories	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	Technical Assistance			
Ex: Support for joint implementation activities	1	1	Provided training and assistance in the economic and financial evaluation of energy efficient projects for consideration in JI activities.	2.4	CN-23-222
Monitoring and verifying GHG emissions					
Growth baselines for pegging GHG emissions to economic growth					
Development of emissions reduction targets and timetables					
Support for joint implementation activities					
Other (describe)					
Other					
Other					
Other					
Other					
Total number of points for Training/Technical Assistance:	0	0			

*Please fill in the YELLOW cells to complete the table.*

TABLE 4												
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector												
Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss												
Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks												
PLEASE SEE BELOW for CODES and DEFINITIONS necessary to complete this table.	Location			The Site and USAID's Involvement						Additional information you may have (see codes below)	SO Number for Activity	CN/TN Number for Activity
				Principal Activities (see codes below)	Indicator 1	Area where USAID has conserved carbon (hectares)						
	Area where USAID has initiated activities (hectares)	Predominant vegetation type (see codes below)	Indicator 2a			Predominant managed land type (see codes below)	Indicator 2b					
			Natural ecosystems				Managed lands					
USAID Activity Name	Country	Region, Province, or State	Site									
Ex: Tapajos National Forest Project	Brazil	Para	Tapajos National Forest	1	595,000	A	595,000			1, 2, 3, 5	1	CN-23-222
				2	5,000	A		3				
								400				
Justification for including site:				Site of Tapajos project was included on the basis of demonstrated progress in forest conservation and resulting carbon sequestration benefits.								
1.												
Justification for including site:												
2.												
Justification for including site:												
3.												
Justification for including site:												
4.												
Justification for including site:												
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Justification for including site:												
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Justification for including site:													
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Justification for including site:													
14.													
Justification for including site:													
15.													
Justification for including site:													
Total area (hectares):				0		Total area:		0		Total area:		0	
<p>Note: If you need to list more than 15 activities in this table, please create a second copy of this spreadsheet, following the instructions at bottom.</p>													

Codes for Land Use and Forestry Sector Indicators									
Principal Activities:		Predominant Vegetation Type:				Predominant Managed Land Type:		Codes for Additional Information:	
1	Conservation of natural ecosystems (may include protected area management, extraction of non-timber products, etc. but <i>not</i> timber harvesting.)	A	Tropical evergreen forest	H	Tropical grassland and pasture	1	<b>Agricultural systems:</b> Less than 15% of the area under trees	1	Maps
2	Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested)	B	Tropical seasonal forest	I	Temperate grassland and pasture	2	<b>Agroforestry systems:</b> Greater than 15% of the area under trees	2	Geo-referenced site coord-inates
3	Afforestation/reforestation/plantation forests	C	Temperate evergreen forest	J	Tundra and alpine meadow	3	<b>Plantation Forests:</b> At least 80% of the area under planted trees	3	Biomass inventory
4	Agroforestry	D	Temperate deciduous forest	K	Desert scrub	4	<b>Protected areas</b>	4	Rainfall data
5	Sustainable agriculture	E	Boreal forest	L	Swamp and marsh			5	Soil type data
		F	Temperate woodland	M	Coastal mangrove				
		G	Tropical open forest / woodland	N	Wetlands				



Definitions: Natural Ecosystems	
Natural Ecosystems	Any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but not those that are managed for timber. The latter are included in 2b below. The distinction is important as different approaches are employed in estimating carbon for “natural areas” (2a) and “managed areas” (2b). Natural areas include: (1) protected areas; (2) areas where non-timber forest products are extracted if significant biomass is not removed (often managed as community-based forest management areas); and (3) any other areas which exclude larger-scale biomass harvest from a management regime including many areas managed by communities and/or indigenous groups.
Definitions: Managed Lands Categories	
Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH)	<p>A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included, an activity must include most of the following practices:</p> <ul style="list-style-type: none"> <li>- tree inventorying, marking and mapping;</li> <li>- careful planning and marking of skidder trails;</li> <li>- vine cutting prior to harvest, where appropriate;</li> <li>- directional felling of trees;</li> <li>- appropriate skidding techniques that employ winching and best available equipment (rubber tired skidder/animal)</li> <li>- proper road and log deck construction;</li> <li>- a trained work force and implementation of proper safety practices;</li> <li>- fire mitigation techniques (fire breaks);</li> <li>- existence of a long-term management plan.</li> </ul> <p>Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been “certified” as environmentally sound by a recognized independent party. Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).</p>
Agroforestry	<p>Agroforestry covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the deliberate growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is significant interaction between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak).</p> <p>Include the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). Do not include agroforestry systems being established on forestlands that were deforested since 1990.</p>

<b>Reforestation/ Afforestation</b>	The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes. -- Include the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).
<b>Sustainable Agriculture</b>	Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven <ul style="list-style-type: none"> <li>- no-tillage or reduced tillage</li> <li>- erosion control/soil conservation techniques, especially on hillsides</li> <li>- perennial crops in the system</li> <li>- higher crop yields through better nitrogen and soil management</li> <li>- long-term rotations with legumes</li> <li>- the use of organic mulches, crop residues and other organic inputs into the soil</li> <li>- better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based agrochemicals which increase emissions.</li> </ul>

<b>Special Instructions: Creating a Copy of this Spreadsheet</b>	
<b>Step 1</b>	Finish filling any cells you are working on and hit " <b>Return</b> " or " <b>Enter</b> ".
<b>Step 2</b>	Then click on " <b>Edit</b> " in the menu bar, above. Go down and click on " <b>Move or Copy Sheet</b> ". The "Move or Copy" dialog box will open. (NOTE: You may also open this dialog box by using the right button on your mouse and clicking on the "T4-2.1 Land Use" tab near the bottom of the screen.)
<b>Step 3</b>	Next, scroll down in the dialog box and click on " <b>T4-2.1 Land Use</b> ".
<b>Step 4</b>	Next, click on the <b>box</b> at bottom to <b>Create a copy</b> .
<b>Step 5</b>	Hit " <b>OK</b> ". A new copy of T4-2.1 Land Use will appear in the row of tabs near the bottom of the screen. PLEASE NOTE: Some cells may not retain all the original ntext when the sheet is copied, especially in the definitions sections.

Please fill in the YELLOW cells to complete the table.

TABLE 5							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions							
PLEASE SEE BELOW FOR DEFINITIONS necessary to complete this table.							
Policy Measure	Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Ex: Facilitates establishment and conservation of protected areas	N	2	1		Two studies completed on national protected areas law for the Environment Min., including recommendations for legal reform; revised National Protected Areas Law adopted, Min. Decree No. 1999/304.	3.1	TN-556-27
Facilitates improved land use planning							
Facilitates sustainable forest management							
Facilitates establishment and conservation of protected areas							
Improves integrated coastal management							
Decreases agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management							
Corrects protective trade policies that devalue forest resources							
Clarifies and improves land and resource tenure							
Other (describe)							
Other							
Other							
Other							
Other							
Sub-total (number of policy steps achieved):		0	0	0			
		Total (number of policy steps achieved):		0			

Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Please fill in the YELLOW cells to complete the table.

TABLE 6							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 4: Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.		Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
Activity Description							
Ex	National Nature Conservation Fund	National Government	Figure reflects direct, in-kind contribution of national government.	\$572,800		3.3	TN-556-27
Ex	Big Forest Climate Change Action Project	The Nature Conservancy and the Friends of Nature Foundation	NGOs initiated independent activity with separate funding, building on earlier USAID conservation project.		\$1,700,000	3.3	CN-23-222
1							
2							
3							
4							
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6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
Total:				\$0	\$0		

Definitions: Funding Leveraged	
<b>Direct Leveraged Funding</b>	Funding leveraged directly in support of USAID activities and programs, including: <ul style="list-style-type: none"> <li>- funding leveraged from partners for joint USAID activities;</li> <li>- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);</li> <li>- obligated or committed funding for direct follow-on MDB loan programs (prorated);</li> <li>- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);</li> <li>- joint implementation investments;</li> <li>- Development Credit Authority investments.</li> </ul>
<b>Indirect Leveraged Funding</b>	Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

*Please fill in the YELLOW cells to complete the table.*

TABLE 6				
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector				
Indicator 5a: Increased Capacity to Address Global Climate Change Issues				
Number of institutions strengthened to address GCC issues		Names of Associations, NGOs, or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Ex: Number of NGOs	4	Friends of Nature Foundation, SITA, Sustainable Forests Unlimited	3.2	CN-23-222
Number of NGOs				
Number of Private Institutions				
Number of Research/Educational Institutions				
Number of Pubic Institutions				
Total Number of Institutions Strengthened:	0			

Please fill in the YELLOW cells to complete the table.

Table 8					
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector					
Indicator 5b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities					
Category	Types of Support Provided (mark with an "X" for each category)		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	Technical Assistance			
Ex: Advancing sustainable forest management	1	1	Presentation of nursery & reforestation studies; US training on resource mgmt; env'l impact assessment law training; forest restoration & recovery workshop. TA for fire prevention.	3.3	CN-23-222
Advancing improved land use planning					
Advancing sustainable forest management					
Advancing establishment and conservation of protected areas					
Advancing integrated coastal management					
Advancing decreases in agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management					
Advancing the correction of protective trade policies that devalue forest resources					
Advancing the clarification and improvement of land and resource tenure					
Other (describe)					
Other					
Other					
Other					
Other					
Number of categories where training and technical assistance has been provided:	0	0			

*Please fill in the YELLOW cells to complete the table.*

TABLE 9												
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas												
Indicator 1: Emissions of Carbon Dioxide Equivalents Avoided, due to USAID Assistance (Measuring Carbon Dioxide, Methane, and Nitrous Oxide)												
Activity		3.1 A - CO2 Emissions avoided through renewable energy activities			3.1 B - CO2 emissions avoided through end use energy efficiency improvements			3.1 C - CO2 emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity)			SO number for Activity	CN/TN Number for Activity
		MW-h produced in electricity generation	BTU's produced in thermal combustion	Fuel type replaced (use codes)	MW-h saved	BTU's saved in thermal combustion	Fuel type saved (use codes)	MW-h saved	BTU's saved in thermal combustion	Fuel type saved (use codes)		
Ex	Renewable Energy Production Prog.	512,258		J							2.1	CN-120-97
Ex	Steam & Combustion Efficiency Pilot Proj.					1,832,144	J				2.1	CN-120-97
Ex	Power Sector Retrofits							912,733		T	2.1	CN-120-97
1												
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Totals:		0	0		0	0		0	0			

[illegible]

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Totals:		0	0				0		0



Codes for Fule Type			
Fuel Types		Code	Fuel Name
Liquid Fossil	Primary Fuels	A	Crude oil
		B	Orimulsion
		C	Natural gas liquid
	Secondary Fuels	D	Gasoline
		E	Jet kerosene
		F	Other kerosene
		G	Shale oil
		H	Gas/diesel oil
		J	Residual fuel oil
		K	LPG
		L	Ethane
		M	Naphtha
		N	Bitumen
		O	Lubricants
		P	Petroleum coke
		Q	Refinery feedstocks
		R	Refinery gas
		S	Other oil
Solid Fossil	Primary Fuels	T	Anthracite (coal)
		U	Coking coal
		V	Other bituminous coal
		W	Sub-bituminous coal
		X	Lignite
		Y	Oil shale
		Z	Peat
	Secondary fuels/ products	AA	BKB & patent fuela
		BB	Coke oven/gas coke
		CC	Coke oven gas
		DD	Blast furnance gas
Gasseous Fossil		EE	Natural gas (dry)
Biomass		FF	Solid biomass
		GG	Liquid biomass
		HH	Gas biomass

Please fill in the YELLOW cells to complete the table.

TABLE 10

Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas

Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions

PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.  Policy Measure		Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Imple- mentation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Example: Facilitates improved demand side management or integrated resource planning		N	2	1		Mission supported introduction of two decrees for energy tariff reforms (pursuant to National Energy Reform Law) in the national parliament; one decree was adopted.	2.4	CN-577-92
Facilitates improved demand side management or integrated resource planning								
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers								
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes								
Facilitates the use of renewable energy technologies								
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)								
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems								
Promotes the use of cogeneration								
Other (describe)								
Other								
Other								
Other								
Other								
Sub-total (number of policy steps achieved):			0	0	0			
Total (number of policy steps achieved):					0			

Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Please fill in the **YELLOW** cells to complete the table.

Table 11					
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas					
Indicator 4: Strategies/Audits that Contribute to the Avoidance of Greenhouse Gas Emissions					
Activity		Number of audits or strategies completed	Number or audit recommendations or strategies implemented	SO Number for Activity	CN/TN Number for Activity
Ex	Steam & Combustion Efficiency Pilot Project	41	35	2.1	CN-577-92
1	Program adopted by Ford Motor Company to promote environmental management system principals in their automotive supply chain in Asia (an energy-intensive industry)	1	1	1	CN 238
2					
3					
4					
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7					
8					
9					
10					
11					
12					
13					
14					
15					
Total:		1	1		

Please fill in the YELLOW cells to complete the table.

TABLE 12							
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas							
Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions							
PLEASE SEE BELOW for DEFINITIONS necessary to complete this table.		Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
Activity Description							
Ex	National Renewable Energy Program	Dept. of Energy, World Bank-GEF	DOE direct buy-in to USAID. In FY99, GEF funded replication of NREP activity begun in FY98, called the Renewables for Economic Devt	\$120,000	\$2,500,000	2	CN-577-92
1	National Association of State Development Agencies grants to small- to medium-sized U.S. private sector firms	19 private sector firms	Direct contributions to the activities	\$380,000		1	CN-238
2	Environmental Exchange Program professional exchanges and study tours (29 of them)	Private sector (U.S. and Asian) and Asian government participants	Contributions in travel costs and salaries	\$819,153		1	CN-238
3	Energy Efficiency seminars in India presented by U.S. energy efficiency companies	The participating U.S. energy efficiency companies	Their direct costs of putting on the seminars	\$33,000		1	CN-238
4	Council of State Governments State Environmental Initiative project in the Philippines on waste utilization and resource recovery, by a group of Washington State organizations (led by the Pacific NW Economic Region)	The Washington State partners	Their direct cost share for doing the activity	\$288,474		1	CN-238
5	Council of State Governments State Environmental Initiative project on agricultural waste biomass gasification in Palawan, Philippines, by a group of Hawaii organizations (led by the State of Hawaii Dept. of Business, Economic Development, and Tourism)	The Hawaii partners	Their direct cost share for doing the activity	\$275,647		1	CN-238
6	Due to the recommendations of USAEP-sponsored Water Efficiency Teams , plans for increased efficiency and other improvements in Indonesia's public water enterprises have so far involved the expenditure of \$400,000 in central government and ADB funds.	Government of Indonesia and ADB	Government grants given and ADB loan funds accessed.	\$400,000		1	CN-238

7	Confirmed, USAEP-assisted sales of U.S. technologies and services to Asia which reduce greenhouse gas emissions.	Asian private sector firms	Amounts confirmed by the U.S. firms making the sales.	\$6,574,430		1	CN-238
<b>Total:</b>				<b>\$8,770,704</b>	<b>\$0</b>		

<b>Definitions: Funding Leveraged</b>	
<b>Direct Leveraged Funding</b>	Funding leveraged directly in support of USAID activities and programs, including: <ul style="list-style-type: none"> <li>- funding leveraged from partners for joint USAID activities;</li> <li>- funding for activities in which USAID developed enabling policies, regulations, or provided pre-obligated or committed funding for direct follow-on MDB loan programs (prorated);</li> <li>- obligated or committed funding for direct follow-on private-sector funded programs that reach financial joint implementation investments;</li> <li>- Development Credit Authority investments.</li> </ul>
<b>Indirect Leveraged Funding</b>	Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

Please fill in the **YELLOW** cells to complete the table.

TABLE 13				
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas				
Indicator 6a: Increased Capacity to Address Global Climate Change Issues				
Number of institutions strengthened to address GCC issues		Names of Associations, NGO's or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Example: Number of NGOs	5	Center for Cleaner Production, Association of Industrial Engineers, National Solar Energy Foundation, Clean Air Alliance, Institute for Industrial Efficiency	2.4	CN-577-92
Number of NGOs	11	Society for Environment and Human Development (Bangladesh), Council of Energy Efficiency Companies of India, Centre for Resource Education (India), U.S. Environmental Center, Mumbai (India), Puter Foundation (Indonesia), Association of Indonesian Water Enterprises, Wisnu (Indonesia), Malaysian Energy Centre, Clean Wheels Nepal, Center for Renewable Resources and Energy Efficiency of the Philippines, Federation of Multi-Purpose Cooperative of Western Batangas (Philippines).	1	CN 238
Number of Private Institutions	2	San Miguel Brewery, Green and Clear Engineering, Ltd (Asian)	1	CN 238
Number of Research/Educational Institutions	0			
Number of Public Institutions	2	Provincial Government of Palawan (Philippines), municipal government of Cebu City (Philippines)	1	CN 238
Total Number of Institutions Strengthened:	15			

Please fill in the YELLOW cells to complete the table.

Table 14					
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas					
Indicator 6b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities					
Category	Types of Support Provided (mark with an "X")		List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
	Training	TA			
Example: Use of renewable energy technologies	1	1	Developed sustainable markets for renewable energy technologies. Over 200 renewable energy systems installed. Training for utilities, government officials, NGOs. Study on renewable energy applications completed.	2.4	CN-577-92
Improved demand-side management or integrated resource planning				1	CN 238
Competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers		2	India: study tour on energy modeling and MARKAL-MACRO. Philippines: study tour to U.S. on electric power regulation and restructuring; study tour to Argentina on power sector reform and regulatory and market models.	1	CN 238
Installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes	6	37	Bangladesh: Demonstrations of a natural gas micro-turbine systems for efficient electricity production. Hong Kong: Seminar on energy performance contracting; Waste Management 1999 International Conference and Exhibition (covering waste minimization, recycling, landfills, and waste-to-energy). India: professional exchange to study U.S. technologies that address the treatment of textiles, including recycling water; demonstration of technology to capture methane from effluents of starch manufacturing facilities; workshop on Energy and Environment: Prospects for International Support; seminar series on energy efficient technologies and practices for industry; demonstration of U.S. waste biomass power plants. Indonesia: study tour on conversion of agro-industrial waste to products; training on fly ash utilization options. Korea: 1999 Conference on Unburned Carbon in Utility Fly Ash; training in waste energy recovery equipment; study on landfill construction; study tour on conversion of food waste into animal feed; incineration technology workshop; seminar series on wastewater reuse and treatment; study tour on technology that converts non-hazardous waste into cubes that can be burned as fuel; professional exchange on the use of landfill gas for fuel. Malaysia and Singapore: seminars and technology demonstrations on solid and hazardous waste management, including waste minimization and recycling. Nepal: study tour on energy efficient boiler systems and cogeneration with bagasse; study tour for Nepalese NGO on waste minimization; training on kerosene recycling. Philippines: demonstration of an industrial wastewater treatment process that results in significantly less sludge and decreased use of chemicals; demonstration of waste-to-product (composting) and bioremediation technologies; study tour on landfill design; study tour on plastics recycling; training on environmental management systems and ISO 14000 in the metal fabrication/automotive industry (an energy intensive industry); 2 study tours on landfill design and construction; demonstration and training of a process to convert waste into products;	1	CN 238



			demonstration of organic waste-to energy conversion on pig farms; study tour on solid waste management for municipal government units. Singapore: water conservation seminar. Thailand: sponsored survey of and disseminated results to Thai manufacturers demonstrating economic benefits of ISO 14000 certification, due for example to water recycling, waste reduction, and reduced electricity use; study tour on landfills and recycling facilities; demonstration of technology for recycling coolants, lubricants, cutting oils, washing solutions, rinse waters, and similar fluids; study tour on converting landfill gas to energy; study tour on municipal landfill construction. Asia Regional Activities: study tour to the U.S. on Clean Technology for Pollution Prevention and Water Recycling in the Semiconductor Industry; training in recycling, source reduction, materials recovery, and methane recovery from landfills.		
Use of renewable energy technologies	2	4	India and the Philippines: technical assistance and training on energy-efficient solar-powered water pumping technology and products. Nepal: study tour on wind energy; training on low-cost solar-powered water purification systems. Bangladesh, India, the Philippines: demonstration of thin-film photovoltaic cells, manufacturing equipment and control software.	1	CN 238
Use of cleaner fossil fuels (cleaner coal or natural gas)	1		Philippines: training on natural gas-fueled engines for the urban bus fleet and other heavy duty vehicle fleets in and around the Metro Manila area.	1	CN 238
Introduction of cleaner modes of transportation and efficient transportation systems		2	Hong Kong: Diesel Vehicle Exhaust Treatment Technology and Motor Emissions Workshop. India: Conference on Automobile and Fuel Technologies: Solutions for the Environment.	1	CN 238
Use of cogeneration					
Other (describe)					
Other					
Total number of points for Training/Technical Assistance:	9	45			